

In 2005 a committee began the work of reviewing and revising the Connecticut Accreditation Standards. This committee included representatives from agencies of all sizes and all areas of the state reflecting the full diversity of Connecticut's Law Enforcement community.

The Connecticut Accreditation Program remains three tiers. Tier I, Liability Standards, are designed to assist police agencies better protect themselves, their employees, and their governing entities from liability exposure as well as enhanced delivery of service and improved public confidence in the agency. Tier II, Professional Standards, address legal requirements, management and operations. Tier III, General Management, further expands upon the Tier II standards, addressing legal requirements, management and operations.

Having completed all three tiers an agency can, if it so chooses, go on to CALEA accreditation with little additional work.

Appendix A is a list of committee members who worked tirelessly on the review and revision of standards and the process.

The mission statement of Connecticut Police Accreditation is to "Enhance the professionalism of Connecticut Law Enforcement agencies through voluntary compliance with contemporary, internationally recognized standards of excellence."

The state accreditation process is part of the Police Officers Standards and Training Council. Full time staff is available to assist any agency beginning the accreditation process as well as maintaining accredited status.

This recent revision was accomplished with a review committee of accreditation managers and assessors, and review by the POST Council Accreditation Committee with final approval by the POST Council May 9, 2013. The effective date of the revision is July 1, 2013. The review, while comprehensive resulted in only several changes and the movement of three (3) standards from Tier II (2) and Tier III (1) to Tier I. See Appendix D an overview of the revisions. The council also identified several standards eligible for an agency to opt out of compliance. For details on this new option see Appendix E of this manual.

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Police Officer Standards and Training Council  
Standards Manual

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## Liability Standards Manual

### Introduction

This manual, the **POSTC Liability Accreditation Program Standards Manual**, serves as the first stage of a tiered system. Tier I is referred to as “**Liability Standards**” and consists of mandatory standards. The remaining tiers will be Tier II and III.

### Explanation of Standards and Commentary

Tier I is a cooperative process designed to assist Connecticut law enforcement agencies reduce exposure to civil liability and provide quality law enforcement service delivery. The framework established for this process is a manual of standards which identifies potential liability issues and actions a participating agency should take to address them. An agency pursuing accredited status reviews the standards, takes the action required by the standard (such as developing a written policy), assembles documentation of its compliance with a standard, and then invites a group of police professionals trained as assessor to review that documentation. If, in the opinion of the assessors the agency has satisfied the standard, they designate the agency as “in compliance” with that standard.

It is important to note that the role of the assessors is not adversarial, nor is the requirement that an agency document compliance meant to impose a burden. The “standard-assessment-compliance” structure is instead a mechanism for focusing an agency’s efforts on key issues and providing a framework for fellow practitioners to offer constructive advice. This structure was designed to provide guidance while preserving maximum flexibility. Similarly, it is important to understand the distinction between “standards text” and “commentary.” The standard itself sets forth the actions the agency must take to achieve compliance. The commentary provides additional details which may clarify the meaning of the standard, suggestions for achieving compliance, sources of information, or helpful examples. The agency has no obligation to comply with the commentary. It may be helpful to regard the standards themselves as a checklist of “musts,” and the commentary as advice which the agency may accept or reject.

For example, the text of one standard reads:

A written directive establishes procedures for investigating accidents involving agency vehicles, as well as those from other law enforcement agencies.

The commentary for the standard reads in part:

....The directive should establish responsibility for conducting an investigation, required components of an investigation, and procedures for review to ensure fairness and impartiality...The directive should also clearly establish the relationship between the agency and other law enforcement agencies....

Because the standard sets forth the required action, an agency could achieve compliance by issuing and complying with a directive which stated, “Accidents involving law enforcement vehicles shall be investigated in the same manner as any motor vehicle accident.” While the commentary does offer suggestions which might further reduce the agency’s liability exposure, the agency does not have to incorporate those suggestions into the directive required by the standard in order to achieve compliance. In a case such as this example, while an assessor may offer suggestions which he or she feels would improve the agency’s policy, the decision as to whether or not the agency is in compliance must be based solely on the standard excluding the commentary.

### **Understanding “Written Directives”**

Many standards require a “written directive” to address one or more issues. A written directive is any official, written statement of agency policy and procedure which provides enough information to guide actions and establish a basis for accountability. Written directives may be policies and procedures written “from scratch” by the agency, model policies “customized” and then adopted, collective bargaining agreements, or laws, ordinances, or reference materials which have been disseminated to agency personnel and identified as official policy. A separate written directive is not required for each standard--one directive may address several standards. Conversely, a single standard may include multiple points (lettered a, b, c, etc., and referred to as “bullets”) which are covered by several different written directives. The key elements of a valid written directive for liability purposes are discussed below.

It is identifiable as a valid and official directive.

Every employee should receive a description of the agency’s order system and a definition of what elements constitute a valid and official directive. The description should identify the type of document (memorandum, general order, etc.), and characteristics: signed by the chief executive or other personnel, labeled with an effective date and/or cancellation date, and so forth. Official policy should be consistently promulgated according to those guidelines. If the agency adopts a third-party document as an official guide to conduct (for example, the Law Enforcement Code of Ethics), a written directive issued by the agency should so inform personnel.

It is disseminated to or otherwise available to appropriate personnel.

Each employee may be issued a hard copy of a directive, or it may be provided in an alternative

manner (posted at roll-call or sent via E-mail). In either case, the agency should be able to document that employees received a directive or notification of a directive's issue. Employees should have easy access to any directive for reference purposes.

It is clear enough to guide actions.

The directive should contain enough information to provide an employee acting in good faith with sufficient guidance to make a decision: a directive concerning interview and interrogation which stated, "employees will do the right thing" would be lacking in clarity. However, a directive which stated, "employees will abide by the requirements established by *Miranda v. Arizona*" would be sufficient--although the employee may have to refer to additional materials to determine his or her course of action. The directive places a clear-cut responsibility on the employee.

## **Understanding Documentation**

Participation in the Tier I standards, involves four steps: reviewing the standards; taking action to comply with the standards; documenting compliance; and then undergoing an assessment, leading to accredited status. The structure Tier I standards has been designed to avoid unnecessary burdens on participating agencies. In particular, "documenting compliance" for an assessment should be understood as a system through which an agency can be confident policies and procedures are consistently followed, rather than a "paper chase." As an example, consider how an agency might comply with and document compliance with one standard.

**1.1.2** *A written directive states that an officer may use deadly force only when the officer reasonably believes the action is in defense of human life, including the officer's own life, or in defense of any person in immediate danger of serious physical injury or death. Definitions of terms such as "immediate," "reasonable belief" and "serious physical injury" are included.*

The agency's chief executive (or designee) reviews the standard and decides that the welcome/briefing the agency's Training Sergeant gives to all new employees is the perfect time to accomplish this requirement. Furthermore, since there is already a form the agency uses to record training of all types, the new policy established is very simple:

1. On the first day of a sworn officer's employment, the Training Sergeant shall provide the employee a copy of General Order 1, Use of Force, and review this order in detail. Following the review, the employee must pass a multiple-choice test covering the key points of the policy administered by the Training Sergeant.
2. The employee and the Training Sergeant shall sign and date a Training Documentation Form and attach the completed test. The form and test will be placed in the employee's training file.

For accreditation purposes, “documentation of compliance” would consist of (1) the order cited above and copies of the test answer sheet and (2) training documentation forms for new sworn employees. An agency choosing to participate in the liability accreditation program decides to use the responsibility to assemble this documentation on an ongoing basis as a kind of automatic inspection of the agency’s operations--a “cross-check” which will prevent mistakes or omissions which might expose the agency to liability from going unnoticed. The process of “documentation” encouraged by the Tier I standards is best understood not as an *addition* to an agency’s activities but rather as a means of *directing* and *organizing* those activities to provide maximum control in the simplest and most efficient manner.

## Reading the Standards

**1.1.5** *A written directive requires that any employee whose actions result in a death or serious injury be removed from line duty until an internal review of the incident is completed.*

Standards are individually numbered in **bold**. The written directive will be *italicized*.

**Commentary:** The employee should be removed from any duty assignment requiring contact with the public or the exercise of law enforcement powers pending completion of an internal review. Such action is not disciplinary in nature; rather, it takes into account the stress experienced by the employee, possible tensions in the community caused by the incident, and the need to protect the agency in the event the review determines the employee’s actions were improper.

The commentary section offers further explanation of the intent of the standard, suggests ways to comply with the standard, or cites references. The commentary is provided solely for informational purposes and is *not* binding.

## Standard Numbers

- 1. x.x**      The first number in a standard identifies the **Tier** the standard is in (the Connecticut Accreditation Program has 3 tiers).
- x.1.x**      The second number in a standard identifies the **Chapter** the standard is in (each tier has three chapters)
- x.x.1**      The third number in a standard identifies the **Standard number** in



the particular chapter. (There are an unlimited number of standards per chapter)

**Standards per Tier**

<b>Tier I</b>	<b>127</b>
<b>Tier II</b>	<b>80</b>
<b>Tier III</b>	<b>116</b>
<b>Total</b>	<b>323 Standards</b>

# **TIER I**

## **INTRODUCTION**

This manual, the **POSTC Professional Accreditation Program Standards Manual**, serves as the first stage of a tiered system. Tier I is referred to as “**Liability Accreditation.**” Tier II is referred to as “**Professional Accreditation**” and consists of mandatory standards unless otherwise indicated, 5% option, as those addressed on The remaining tier will be Tier III and referred to as “**General Management.**”

The professional standards are in three chapters, which are:

**Chapter 1 Legal Requirements,**

**Chapter 2 Management,**

**Chapter 3 Operations.**

The POST Council has approved a five percent option for Tiers II and III only. See Appendix E for details.

## Chapter 1: Legal Requirements

### 1.1.1 *A written directive establishes the following for all lethal and less lethal weapons:*

- a That only the weapons and ammunition specified in the directive may be used by agency personnel in the performance of law enforcement duties;*
- b That employees must demonstrate proficiency in each approved weapon prior to carrying the weapon;*
- c Procedures for review, inspection, and approval of all weapons to be used by each employee prior to carrying by a qualified weapons instructor or armorer;*
- d Procedures for maintaining records on all approved weapons;*
- e That, if the agency authorizes carrying of weapons off-duty, these requirements extend to those weapons; and*
- f Procedures for removal of unsafe weapons.*

**Commentary:** The agency should maintain strict control of all weapons it authorizes its employees to use in the performance of law enforcement duties both on and off duty. This includes specifying the exact type of weapon and ammunition which may be used; requiring employees to demonstrate proficiency with weapons; and conducting inspections to ensure the weapons are in proper working order. The agency should maintain complete records on authorized weapons, including make, model, and serial number.

### 1.1.2 *A written directive states that an officer may use deadly force only when the officer reasonably believes the action is in defense of human life, including the officer's own life, or in defense of any person in immediate danger of serious physical injury or death. Definitions of terms such as "immediate," "reasonable belief" and "serious physical injury" are included.*

**Commentary:** Refer to C.G.S. 53a-22

### 1.1.3 *A written directive:*

- a Governs the discharge of "warning shots;"*
- b Governs the use of authorized less lethal weapons;*
- c Specifies procedures for providing first-aid after the use-of-force and;*
- d Requires a written report following any use-of-force by an employee, including accidental discharge of a firearm; and*
- e Conduct on an annual basis a review of all use-of-force incidents.*

**Commentary:** The types of less lethal weapons each agency uses may vary; however, written policy should guide their use. Similarly, the agency may permit "warning shots" under certain circumstances or prohibit them altogether; however, the risks and benefits of each option should be evaluated by the agency and the policy established in writing. The type of report produced

and its dissemination may be determined by the agency; it is recommended that command level staff or the chief executive review every significant use-of-force.

**1.1.4** *A written directive requires that all sworn employees receive a copy of all policies concerning use-of-force before being authorized to carry a weapon and at a minimum,*

- a Each sworn employee is required to receive in-service training on use-of-force policies,*
- b Demonstrate proficiency with weapons in compliance with POSTC requirements.*
- c In-service training for lethal weapons occurs annually,*
- d In-service training for less lethal weapons occurs biennially;*
- e Procedures concerning remedial training for employees who fail to demonstrate proficiency, and*
- f All training is documented, including remedial training.*

**Commentary:** In the event an employee is unable or unwilling to demonstrate proficiency with weapons as required, the agency may be forced to take administrative action against the employee, up to and including dismissal. In order to protect the agency and employees, the procedure for remedial training should be established in writing. The procedures should be strictly adhered to and thoroughly documented. **Revised 7/2013**

**1.1.5** *A written directive requires that any employee performing police function within their legal authority, whose use of deadly force results in a death or serious injury be removed from line duty pending an internal review of the incident.*

**Commentary:** The employee should be removed from any duty assignment requiring contact with the public or the exercise of law enforcement powers pending an internal review. Such action is not disciplinary in nature; rather, it takes into account the stress experienced by the employee, possible tensions in the community caused by the incident, and the need to protect the agency in the event the review determines the employee's actions were improper.  
**Revised 7/2013**

**1.1.6** *A written directive defines the legal authority to carry and use weapons by agency personnel in the performance of their duties.*

**Commentary:** Refer to C.G.S. 53-206

**1.1.7** *A written directive states personnel will use only the force necessary to accomplish lawful objectives.*

**Commentary:** None.

**1.1.8** *A written directive establishes procedures for search and seizure, with and without a Warrant, to include the following situations:*

- a Interview and interrogations;*
- b Access to counsel;*
- c Search by consent;*
- d Stop and frisk;*
- e Search of a motor vehicle;*
- f Search at the scene of a crime;*
- g Search in exigent circumstances;*
- h Inventory searches of vehicles;*
- i Strip and body-cavity searches to include provisions for privacy, and*
- j Search by gender and reporting requirements, if any;*
- k Arrest without a warrant;*
- l Arrest with a warrant;*
- m Alternatives to arrest;*
- n Pre-arraignment confinement and release;*
- o Forced entry to arrest; and*
- p Out of town arrest warrants (agencies shall establish a written directive when serving out of town arrest warrants to include family violence, and Class A Misdemeanors and above).*

**Commentary:** Addressing each of the critical Constitutional and statutory issues listed above in writing will protect both the agency and its employees from liability exposure. The agency may customize model policies provided by third parties, draft its own directives, or rely on a combination of training material and a reference source such as the *Connecticut Law Enforcement Officers Field Manual*. The intent of this standard is to require the agency to ensure that each sworn employee receives reviews, understands, and abides by written procedures addressing each of these areas. The type and organization of the written procedures may be determined by the agency. Care should be taken to take into account Connecticut statute and court decisions, which may be more restrictive than federal law and judicial precedent.

**1.1.9** *A written directive establishes procedures for meeting the following legal requirements pertaining to prisoners:*

- a Presenting the detainee at the next available court date;*
- b Providing the opportunity to make bail;*
- c Providing a probable cause hearing within forty-eight hours;*
- d Providing confidential access to attorneys;*
- e Providing the detainee with access to a telephone;*
- f Alerting the detainee to monitored or recorded telephone conversations; and*
- g Providing three meals within any twenty-four hour period.*

**Commentary:** Procedures should be in place to provide uniform treatment to all detainees. Bail decisions should be reviewed by the bail commissioner, when appropriate. Notification that calls are being monitored or recorded should be made in the predominant languages in the agency's service area.

**1.1.10** *A written directive establishes policy and procedures for handling juvenile matters in compliance with state statute, including:*

- a Guidelines for referral to superior court-juvenile matters or diversion;*
- b Taking juveniles into custody;*
- c Handling juveniles from families with service needs;*
- d Reporting suspected child abuse and neglect; and*
- e Notifying the superintendent of schools of juvenile arrests when required.*

**Commentary:** The directive should address procedures for referring a juvenile to court; state the conditions (if any) under which a juvenile would be referred to another agency and identify such agencies and referral procedures; and specify criteria which may and may not be taken into consideration when making referrals (for example, a child's race or ethnicity must not be a factor). Criteria for taking a juvenile into custody and transfer or release within statutory time limits should be included. The directive should distinguish between juvenile offenders and those from families with service needs and ensure the latter are never held in a lock-up or other detention facility. The directive should also require officers to report suspected child abuse and neglect as required by C.G.S. 17a-101. Finally, a procedure should be established to ensure the jurisdiction's superintendent of schools is notified when a student is arrested for Class A misdemeanor or felony charges in compliance with C.G.S. 10-233h. The Office of Policy and Management Juvenile Justice Advisory Committee publishes *Children, Youth and the Police: Recommended Policies and Procedures*, a useful guide for developing policies and procedures relating to juveniles.

**1.1.11** *A written directive establishes policy and procedure designed to protect the rights of juveniles, including:*

- a Interview and interrogation;*
- b Fingerprinting and photographing; and*
- c Providing a probable cause hearing within forty-eight hours of placement within a juvenile detention facility, when applicable.*

**Commentary:** The directive should ensure juveniles' rights are protected, including involvement of parents and/or guardians in interview and interrogation. The Office of Policy and Management Juvenile Justice Advisory Committee publishes *Children, Youth and the Police: Recommended Policies and Procedures*, a useful guide to developing the policies required by this standard.

**1.1.12** *The agency has a written directive governing bias profiling and, at a minimum, includes the following provisions:*

- a A prohibition against bias based profiling in traffic contacts, field contacts and in asset seizure and forfeiture efforts;*

- b Training agency enforcement personnel in bias-based profiling issues including legal aspects;*
- c Corrective measures if bias-based profiling occurs; and*
- d An annual administrative review of agency practices including citizen concerns.*

**Commentary:** Profiling, in itself, can be a useful tool to assist law enforcement officers in carrying out their duties. Bias based profiling; however, is the selection of individuals based solely on a common trait of a group. This includes but is not limited to race, ethnic background, gender, sexual orientation, religion, economic status, age, cultural group or any other identifiable groups. Law enforcement agencies should not condone the use of any bias based profiling in its enforcement programs as it may lead to allegations of violations of the constitutional rights of the citizens we serve, undermines the legitimate law enforcement efforts and may lead to claims of civil rights violations. Additionally, bias based profiling alienates citizens, fosters distrust of law enforcement by the community, and invites media scrutiny, legislative action, and judicial intervention. Law enforcement personnel should focus on a person's conduct or other specific suspect information. They must have reasonable suspicion supported by specific articulated facts that the person contacted regarding their identification, activity or location has been, is, or is about to commit a crime or is currently presenting a threat to the safety of themselves or others. Annually, the agency should include profiling related training that should include field contacts, traffic stops, search issues, asset seizure and forfeiture, interview techniques, cultural diversity, discrimination, and community support.

**1.1.13** *A written directive defines the legally mandated authority and responsibilities vested in all categories of sworn agency personnel (if the agency has more than one category of sworn personnel, each shall be identified) and requires all personnel, prior to assuming sworn status, to take and subsequently abide by an oath of office to enforce the law and uphold the nation's and State of Connecticut Constitution, Connecticut State Statute and municipal ordinance.*

**Commentary:** The written directive should define and elaborate on the scope and limits of law enforcement authority as it pertains to the enforcement of laws, statutes, ordinances, and arrests. Some agencies have more than one category of sworn agency personnel. For example, Fish and Game warden, Park Ranger, and Municipal Animal Control Officer or other special class of officer having sworn duties, but limited arrest authority, as determined by the agency. Generally, sworn status includes the authority to make a full custody arrest.

**Revised 7/2013 (Formally 2.1.1)**

**1.1.14** *A written directive requires all sworn officers to abide by a code or canon of ethics adopted by the agency.*

**Commentary:** The Canon of Ethics or Law Enforcement Code of Ethics published by the International Association of Chiefs of Police will satisfy the intent of this standard. Adherence to those codes of ethics and to the United Nations Code of Conduct for Law Enforcement Officials may be included as an element of the oath of office. **Revision 7/2013 (Formally 2.1.2)**

**1.1.15** *A written directive governs the use of discretion by sworn officers.*

**Commentary:** In many agencies, the exercise of discretion is defined by a combination of written enforcement policies, training, and supervision. The written directive should define the limits of individual discretion and provide guidelines for exercising discretion within those limits. **Revised 7/2013 (Formally 3.1.1)**



## Chapter 2: Management

### Personnel

#### **1.2.1** *The agency has an equal employment opportunity (EEO) plan.*

**Commentary:** The agency may be covered by an EEO plan drafted by its jurisdiction, or, if this is not the case, must prepare its own. Reference to legal restrictions should be included (for example, prohibited areas of inquiry during pre-employment interviews; see C.G.S. 46a-814. The state Commission on Human Rights and Opportunities (CHRO) and federal Equal Employment Opportunity Commission (EEOC) can provide resource materials useful for developing an EEO plan.

#### **1.2.2** *A written directive describes all elements of any promotional process, to include a posting/notification of the written announcement of the promotional process.*

**Commentary:** Each agency may establish the content of promotional processes in keeping with internal policy, the jurisdiction's personnel rules, and/or collective bargaining agreements. For the protection of the agency, however, all the elements of any promotional process should be clearly stated. Strictly adhering to such a statement will help defeat charges of unfairness, favoritism, or bias in promotional decisions; the more clear and comprehensive the written statement, the greater the protection afforded.

#### **1.2.3** *A written directive describes the establishment of and use of promotional eligibility lists, including:*

- a Time-in-rank requirements for eligibility, if any;*
- b The system of ranking employees on the list;*
- c The duration of the list; and*
- d The system for selecting names off the list.*

**Commentary:** The agency may establish whatever system is compatible with its needs, the personnel rules of its jurisdiction, and applicable collective bargaining agreements; however, to protect against challenges and ensure the integrity of the process, the above-listed criteria should be established in advance and in writing. **Revised 9/2012**

#### **1.2.4** *If the agency has sworn reserve, part-time, or supernumerary police officers, the following criteria are met:*

- a A written directive describes the program, including the use of such officers;*
- b The selection criteria are the same of those for full-time officers;*
- c Such officers are required to attend the same academy training program as full-time officers;*

- d Such officers are required to receive the same minimum in-service training as full-time officers;*
- e Such officers are required to receive the same use-of-force training as full-time officers; and*
- f Such officers have the same liability protection as that provided to full-time officers.*

**Commentary:** None.

**1.2.5** *If the agency has non-sworn auxiliaries or other field support personnel, the following criteria are met:*

- a A written directive describes their duties, and includes a statement that they are not sworn officers;*
- b Such personnel receive training in their duties; and*
- c The uniforms of such personnel are clearly distinguishable from those of sworn officers.*

**Commentary:** Examples of non-sworn auxiliaries or field support personnel include cadets, volunteer traffic monitors, and community service officers. For their own and the public's safety, they should receive appropriate training in their duties, such training might include, issuing parking citations, traffic direction, and use of the police radio. Their uniforms and badges (if any) should not resemble those of sworn officers, and it should be clearly established that they are not authorized to perform any law enforcement action or to represent themselves as police officers on or off duty.

**1.2.6** *The agency maintains current job descriptions for each position in the agency and they are made available to all personnel.*

**Commentary:** A current job description for each position is essential for defending an agency against legal challenges, especially those brought under the Americans with Disabilities Act (ADA). The job description should include a statement of the nature and purpose of the position, general duties and responsibilities, and examples of critical duties and tasks. If specific physical capabilities and other qualifications are essential to the position (for example, a valid driver's license) they should be included in the job description. Care should be taken to amend the job description when duties and responsibilities change. Issuing copies of the job description to incumbents in the position and their supervisors, and consistently using the description as a basis for performance evaluation will strengthen its validity in the event of a court challenge.

**1.2.7** *A written directive describes the agency's leave program, including:*

- a Family, medical, and maternity leave;*
- b Sick leave;*
- c Holiday and vacation leave;*
- d Military leave; and*
- e Other administrative leave.*

**Commentary:** Leave policy may be established through collective bargaining; where it is not, the agency or the agency's jurisdiction should develop written policy addressing leave. Procedures for family and medical leave should be specified, including whether or not employees are required to use accrued time before unpaid leave and whether or not they continue to accrue seniority while on leave. "Other" types of leave might include jury duty.

**1.2.8** *If the agency allows sworn personnel to engage in extra-duty employment, a written directive establishes the following:*

- a That extra-duty employment must be approved by the agency;*
- b The applicability of agency rules, regulations, and other policies to employees during extra-duty employment;*
- c Procedures for reviewing, approving, and documenting extra-duty employment;*
- d Designation of a point of coordination or administration within the agency to oversee adherence to the aforementioned policies, processes, and other matters deemed appropriate by the agency; and*
- e Documentation of the significant aspects of each officer's extra-duty employment.*

**Commentary:** This standard refers to what are generally called "extra-duty" assignments or "private jobs" -- that is, where the exercise of police powers is anticipated. The employee will continue to represent the agency, and the agency should exercise strict control over the type of extra-duty employer and the behavior of its personnel. The written directive or directives governing such work may be a collective bargaining agreement, agency policy, or both; however, at minimum the issue listed above should be addressed.

**1.2.9** *A written directive establishes maximum continuous hours of work and maximum hours of work within a designated period for sworn personnel.*

**Commentary:** Performance of law enforcement duties requires physical capabilities and the exercise of judgment which may be impaired by extreme fatigue. A written policy establishing maximum continuous hours of work and maximum hours of work (including regular duty, overtime, and extra duty) protects the agency, its employees, and the public. The maximum hours and the period of time established as a parameter should be set by the agency based on its past experience and scheduling policies.

**1.2.10** *A written directive provided to all employees establishes procedures for contacting employee assistance programs.*

**Commentary:** The agency must provide an employee assistance program (EAP) for its employees; such programs may be provided by contract with an external service provider or through the agency's jurisdiction. Each employee and supervisory personnel should be made aware of how to contact the EAP. The directive should explain the level of confidentiality afforded any consultation with EAP personnel.

**1.2.11** *The agency complies with all Police Officer Standards and Training Council (POSTC) requirements for selection and testing of police officers.*

**Commentary:** The agency or its governing body is free to develop selection and testing procedures for entry-level officers in excess of POSTC requirements. In the absence of written personnel rules or agency policy, the agency should follow and document compliance with established POSTC standards for entry-level selection and testing.

**1.2.12** *If the agency allows secondary employment a written directive establishes procedures for review, approval, and revocation of sworn officers' secondary employment privileges.*

**Commentary:** "Secondary employment or moonlighting" is employment of a non-law enforcement nature. However, the employee's secondary employment may create a conflict of interest or the appearance of impropriety and should be controlled by the agency.

**1.2.13** *A written directive establishes the command protocol for the following situations, at a minimum:*

- a In the absence of the chief executive officer;*
- b In exceptional situations;*
- c In situations involving personnel of different functions engaged in a single operation; and*
- d In normal day-to-day agency operations.*

**Commentary:** A system of succession should be established to ensure that leadership is available when the agency's chief executive officer is incapacitated off duty, out of town, or otherwise unable to command. For anticipated absences for extended periods, the CEO should designate, in writing, an "acting authority." Command also may be predetermined for certain emergency or unusual occurrences and for specific operation activities. Command protocol should clarify authority, alleviate confusion and ensure uninterrupted leadership.

**1.2.14** *A written directive requires employees to obey any lawful order of a superior, including any order relayed from a superior by an employee of the same or lesser rank. The directive must also include procedures to be followed by an employee who receives a conflicting or unlawful order.*

**Commentary:** None.

**1.2.15** *Familiarization with the State accreditation process is provided to agency employees and reinforced prior to on-site visits.*

**Commentary:** None

## Training

**1.2.16** *A written directive requires all sworn personnel to complete recertification in compliance with POSTC requirements, and assigns responsibility to a specific position for monitoring future training legislation and mandates.*

**Commentary:** The Police Officer Standards and Training Council (POSTC) establish minimum recertification requirements for police officers statewide. The intent of this standard is to ensure that a specific individual within the agency has responsibility for monitoring compliance with current and newly established POSTC requirements.

**1.2.17** *If the agency has a tactical team or participates in or supplies personnel to a regional and or multijurisdictional team, a written directive requires all personnel assigned to the team engage in training exercises.*

**Commentary:** By creating, equipping, and subsequently assigning a tactical team to act high-risk situations the agency assumes a responsibility to provide an appropriate level of training and preparation. All tactical team personnel should participate in regular training exercises designed to prepare each individual and the team as a whole for anticipated uses. **Revised 9/2012**

**1.2.18** *All newly sworn officers complete training as required by Police Officer Standards and Training Council (POSTC) requirements prior to being allowed to carry a weapon or make an arrest except as part of a formal field training program.*

**Commentary:** None. **Revised 7/2013**

**1.2.19** *If the agency provides medical response or are designated first responders, officers are appropriately trained.*

**Commentary:** None.

**1.2.20** *A written directive requires the agency to update records of employees following their participation in training programs.*

**Commentary:** As personnel complete training programs, the date of the training, the types of training received, any certificates received, attendance, and test scores should be recorded for each trainee.

**1.2.21** *The agency maintains records of each training class it conducts, to include at a minimum:*

- a Course content (lesson plan);*
- b Name of agency attendees; and*

*c Performance of individual attendees as measured by test, if administered.*

**Commentary:** The intent is to ensure that agency documents the nature of the instruction, the identity of those attending the sessions, and the performance of the attendees. The standard would be satisfied in part by maintaining on file the lesson plans used by the course instructors.

**1.2.22** *A written directive establishes a field training program for all newly sworn officers with a curriculum based on tasks of the most frequent assignments with provisions for the following:*

- a Field training for trainees, to meet or exceed POSTC requirements during and/or after required classroom training;*
- b A selection process for field training officers;*
- c Supervision of field training officers;*
- d Liaison with the academy staff, if applicable;*
- e Training and in-service training of field training officers;*
- f Rotation of recruit field assignments;*
- g Guidelines for the evaluation of recruits by field training officers; and*
- h Reporting responsibilities of field training officers; and*
- i A field training program for newly hired entry-level state certified police officers to meet or exceed POSTC requirements.*

## **Records**

**1.2.23** *A written directive establishes privacy and security precautions for agency records (hard copy computerized), including:*

- a Separation of juvenile arrest from adult arrest records;*
- b Procedures for collection, dissemination, and retention of fingerprints, photographs, and other forms of identification pertaining to juveniles;*
- c Physical security and controlled access to files; and*
- d Procedures for the release of records.*

**Commentary:** Records should be stored securely, with access limited to authorized personnel. Records should be transferred from the point of collection (for example, the booking area) to central records according to established procedures. Finally, only designated personnel should be authorized to release agency records or information.

**1.2.24** *The agency complies with state regulations concerning the retention and destruction of records.*

**Commentary:** Refer to the State records retention schedule.

**1.2.25** *A written directive establishes procedures for recording arrest information, including:*

- a Preparing reports;*
- b Fingerprinting; and*
- c Photographing.*

**Commentary:** The directive should specify reports to be completed and information to be gathered for each arrest.

**1.2.26** *A written directive establishes procedures for the disclosure of law enforcement information and establishes responsibility for communicating with the media.*

**Commentary:** Releasing inaccurate or privileged information to the public and/or media can expose the agency to civil liability as well as compromise criminal investigations. At minimum, the agency's public information policy should clearly state what information cannot be released (such as the names of juvenile offenders and sexual assault victims, and information concerning ongoing investigations), indicate which employees are authorized to release law enforcement information (such as arrest and accident reports), and designate responsibility for dealing with the media.

**1.2.27** *A written directive establishes procedures for:*

- a Requiring the retaining recordings of radio and telephone communication for at least thirty days;*
- b Secure handling and storage of such recordings; and*
- c Criteria and procedures for reviewing such recordings.*

**Commentary:** A recording of emergency communications can serve as critical evidence in the event of litigation. These recordings are also an indispensable source for criminal investigations, internal investigations, training, and audits of the agency's service delivery system. The written directive should establish effective security precautions for such recording media. Access to secure recordings should be limited and available only through a specific procedural method.

**1.2.28** *If the agency participates in a regional computer records system, the agency complies with all sections of Connecticut General Statutes with regard to criminal history records information and with Title 28 of the United States Code. This shall be supplemented by the following security precautions:*

- a The agency shall appoint a control officer responsible for compliance with this standard;*
- b Platforms provided with access to COLLECT services and facilities shall be under the direct control of the criminal justice agency served by those platforms;*
- c Each user of the system shall be certified as COLLECT operators for inquiry only unless otherwise approved by the State.*

**Commentary:** Under this standard all agencies participating in regional information-sharing must put into place safeguards and a management control system to ensure the security of their criminal information database and supporting records. A person within each agency must be designated as a control officer. The control officer will monitor and audit the coding/access procedures for the agency; the control officer should be part of the reporting chain when breaches of system security are discovered. Agencies must authorize supervisors to take immediate corrective action when a breach is discovered pursuant to a written directive explaining their authority and where in the chain of command written reports are routed. An inspectional system should be in place to perform unannounced audits of inquiries and make written reports on results of audits.

**1.2.29** *A written directive governs the maintenance of all cash funds or accounts where agency personnel are permitted to receive, maintain, or disburse cash and includes, at a minimum:*

- a A balance sheet, ledger, or other system that identifies initial balance, credits (cash income received), debits (cash disbursed), and the balance on hand;*
- b Receipts or documentation for cash received;*
- c Authorization for cash disbursement, including CEO authorization for expenses in excess of a given amount;*
- d Records, documentation, or invoice requirements for cash expenditures;*
- e Persons or positions authorized to disburse or accept cash; and*
- f Quarterly accounting of agency cash activities.*

**Commentary:** These procedures are inclusive of petty cash funds, cash received in records, investigative funds, and all other instances where cash funds are maintained or cash is received or disbursed.

## **General Management**

**1.2.30** *A description of the agency's written directive system is distributed to all employees, including:*

- a Agency values and mission statement;*
- b A policy statement that vests in the agency's chief executive officer the authority to issue, modify, or approve agency written directives;*
- c Identification of the persons or positions, other than the agency's chief executive officer, authorized to issue written directives;*
- d A description of the written directives system format;*
- e Procedures for indexing, purging, updating, and revising directives;*
- f Statements of agency policy;*
- g Rules and regulations;*
- h Procedures for carrying out agency activities; and*



- i Procedures for review of proposed policies, procedures, rules, and regulations prior to their promulgation.*

**Commentary:** A written description of the agency's written directive system should be issued to all employees; receipt of this document and all other official directives should be documented and retained on file - a simple sign-off sheet, with a space for the date received and the employee's initials - would be sufficient. This description should identify who, in addition to the chief executive, is authorized to issue official directives, including what type of directives individuals may issue, if applicable. The "written directive system" may be as simple or complex as the agency's needs dictate: it may consist solely of general orders and/or official memoranda or be broken down into general orders, special orders, personnel orders, etc., however, each type should be listed and described (purpose, format) to the degree necessary for employees to recognize all official directives.

**1.2.31** *A written directive establishes a code of conduct and appearance guidelines which are readily available for agency personnel.*

**Commentary:** The code of conduct provides clear guidance for employees and also establishes a basis for accountability. Typically, such codes of conduct include prohibitions on such activities as conduct unbecoming; use of alcohol and drugs; and acceptance of bribes or gratuities. The code of conduct may also establish positive requirements, such as courtesy and punctuality.

**1.2.32** *A written directive prohibits sexual harassment and other forms of harassment and establishes procedures for reporting sexual harassment, including a means for reporting harassment if the alleged harasser is in the complainant's chain of command.*

**Commentary:** The directive should prohibit sexual harassment and include a definition in accordance with Connecticut General Statutes C.G.S. 46a-60(a)(8) and C.G.S. 46a-54(15). The directive should include an affirmative obligation on the part of supervisory personnel to take immediate action following a complaint or when possible harassment comes to their attention and prohibit retaliation against an employee for making a complaint.

**1.2.33** *A written directive establishes the criteria and procedures for a disciplinary system, including:*

- a Using training as a function of discipline;*
- b Using counseling as a function of discipline;*
- c Taking punitive actions;*
- d The role and powers of supervisory personnel at each level of authority;*
- e Appeal procedures; and*
- f Procedures for maintaining records of disciplinary actions.*

**Commentary:** The agency's disciplinary system may be fully or partially established by collective bargaining contract; if not, or for those areas not addressed by contract, it is essential

that policy and procedures be established in writing. Careful adherence to these criteria and procedures and thorough documentation will help the agency defend its actions if challenged, and ensure employees are treated fairly and equitably. This standard addresses all types of improper employment practices as covered in Connecticut General Statute Section 46a-60.

**1.2.34** *A written directive establishes internal affairs procedures, to include at minimum:*

- a The requirement that all complaints be investigated;*
- b The requirement that all complaints be reviewed by a command-level individual; and*
- c The requirement that all complaints receive a written response from the agency.*

**Commentary:** An internal affairs function is essential to maintaining the integrity of the agency, providing employees against whom complaints are made with the opportunity for a fair hearing, and retaining the trust and confidence of the citizens the agency serves. At minimum, the agency should establish policy which requires all complaints be investigated, provides for command-level oversight, and provides for a written response to the complainant.

**1.2.35** *A written directive specifies the circumstances under which an employee may be relieved from duty prior to formal disciplinary proceedings.*

**Commentary:** In order to ensure the agency can defend its actions when an employee must be relieved from duty for medical, administrative, disciplinary, or other reasons, a written directive should specify the circumstances under which an employee may be relieved from duty and the level of authority within the agency authorized to do so. This information may be established by a collective bargaining agreement, agency policy, or a combination of the two.

**1.2.36** *A written directive establishes procedures to be followed in the event a wrongful arrest is determined to have been made by the agency.*

**Commentary:** If it is determined that agency personnel have effected a wrongful arrest, procedures should be in place to notify the chief executive officer and initiate a review of the incident and contact with the agency's legal counsel, the arrested person, and prosecutor's office, if appropriate. Prompt corrective action by the agency will limit the agency's liability.

**1.2.37** *The agency has a written policy distributed to all sworn personnel concerning:*

- a Blood borne pathogens;*
- b Airborne pathogens; and*
- c The availability of hepatitis vaccinations and tuberculosis testing.*

**Commentary:** In addition to meeting Occupational Health and Safety Administration (OSHA) requirements, addressing these issues in writing will protect employee safety and help to avoid labor disputes. The directives should provide employees with accurate information concerning

on-the-job risks, state required precautions, define a significant exposure, and establish clear exposure procedures.

**1.2.38** *A written directive provided to all personnel:*

- a Establishes the confidentiality of AIDS and HIV-related information; and*
- b Describes procedures for legally requiring an individual to disclose such information after a line-of-duty exposure.*

**Commentary:** C.G.S.19a-581 and following sections establish the strict confidentiality of information relating to the AIDS virus and grants individuals the right to sue for damages caused by disclosure of such information. In addition, statute requires that all officers be informed of the procedures which may be followed to require an individual to disclose such information or undergo an AIDS test following a line-of-duty exposure. The statute may service as the written directive; however, it is desirable that the agency clarify procedural requirements such as never transmitting information concerning an individual's AIDS/HIV status over radio channels and redacting such information from any reports issued to the public or press.

## Chapter 3: Operations

### 1.3.1 *A written directive governs pursuit of motor vehicles to include:*

- a Evaluating the circumstances;*
- b Initiating officers' responsibilities;*
- c Designating secondary unit's responsibilities;*
- d Specifying roles and restrictions pertinent to marked, unmarked, or other types of police vehicle involvement in the pursuit;*
- e Assigning dispatchers' responsibilities;*
- f Describing supervisors' responsibilities;*
- g Using forcible stopping techniques;*
- h Circumstances warranting use of roadblocks and the procedures for implementation;*
- i Specifying when to terminate pursuit;*
- j Engaging in inter and intra jurisdictional pursuits involving personnel from the agency and/or other jurisdictions;*
- k Detailing a procedure for reporting and an administrative review of the pursuit;*
- l Establishes procedures for a review, conducted by a supervisor not involved in the pursuit and directed to a command-level officer, following each incident of motor vehicle pursuit; and*
- m The agency conducts an annual, documented analysis of motor vehicle pursuits.*

**Commentary:** The agency must establish a policy, which may be as restrictive as it wishes based on its own research and priorities; however, the policy must comply with C.G.S. 14-283a and with the Uniform Statewide Pursuit Policy. Compliance with the policy should be carefully monitored.

### 1.3.2 *The agency makes available protective vests for all sworn personnel assigned to uniform field duty and establishes written guidelines for the wearing and availability of those vests to include requiring the wearing of protective vests by personnel engaged in high-risk situations as defined by the agency.*

**Commentary:** The wearing of protective vests is important to officer safety. Protective vests should afford protection consistent with the threat to which officers are exposed. Possible reasons for not wearing protective vests could include, but are not necessarily limited to, excessively warm weather conditions, the regular assignment of patrol personnel to non-line duties, etc. Protective vests donated to the agency, or provided by other means, meet the requirement of the standard. For reasons of proper fit and hygiene, it is strongly recommended the agency provide a vest for its individual sworn personnel assigned to uniform field duty. The standard requires that personnel involved in the execution of high-risk tactical duties are required to wear agency provided vests whenever discharging those responsibilities. Examples of high-risk tactical situations include, but are not necessarily limited to planned warrant execution, drug raids, etc.

**1.3.3** *The agency has a written plan for responding to natural and man-made disasters, civil disturbances and other unusual occurrences. The plan includes provisions for:*

- a Communications;*
- b Situation map;*
- c Field command posts;*
- d Chain of command (to include other agencies);*
- e Casualty information;*
- f Community relations;*
- g Public information;*
- h Rumor control;*
- i Other agency support and liaison;*
- j Military support;*
- k Public facility security;*
- l Traffic control;*
- m Equipment availability;*
- n Transportation;*
- o De-escalation procedures;*
- p Court and prosecutorial liaison;*
- q Legal authority;*
- r Post-occurrence (aftermath) duties; and*
- s After-action reports.*

**Commentary:** Natural disasters include floods, hurricanes, earthquakes, explosions, and tornadoes. They may occur with little or no advance warning and by their nature they pose an unusual and serious threat to public safety. In order to respond in an effective manner, the agency should develop a written plan in advance to address such situations. The plan need not address every possible contingency but rather should be concise and realistic, in order to ensure the agency responds in an organized and professional manner. The plan may include or reference the emergency mobilization plan.

**1.3.4** *A written directive establishes uniform procedures for taking enforcement action incidental to traffic law violations, to include:*

- a Physical arrest;*
- b Citation (notice to appear); and*
- c Warnings (if used).*

**Commentary:** If sufficient cause exists to affect a physical arrest for driving under the influence of alcohol or narcotics and a physical arrest is not made, the agency may be held liable in the event of an accident. If circumstances prevent an immediate arrest (for example, the individual is being hospitalized following accident), arrest may be delayed.

**1.3.5** *A written directive requires the agency to notify the appropriate court and transporting personnel when a prisoner to be transported poses a security hazard, medical risk or suicide risk.*

**Commentary:** The agency has an obligation to notify appropriate court staff when a prisoner poses an exceptional security hazard or suicide risk of which the agency is aware. Examples would include an individual who has assaulted agency personnel while in custody, attempted escape, or threatened or attempted suicide. **Revised 7/2013**

**1.3.6** *A written directive requires all prisoners to be restrained and controlled during transport, with exceptions and provisions for aged, young, or disabled prisoners noted.*

**Commentary:** For security purposes and to ensure the safety of the officer, all prisoners should be restrained/controlled during transport. Under certain circumstances, the use of handcuffs may not be appropriate: the directive should specify alternative arrangements, such as the use of an ambulance, other forms of restraint, or two-officer transport when necessary.

**1.3.7** *A written directive establishes procedures for transporting sick, injured, or disabled prisoners.*

**Commentary:** The directive should specify the arrangements to make for transporting sick, injured, or disabled prisoners, including the use of alternative forms of restraint, transport by ambulance, and accommodating devices such as wheelchairs.

**1.3.8** *A written directive establishes procedures for security of prisoners at medical facilities.*

**Commentary:** If the agency transports prisoners to medical facilities for treatment, examination, or admission, a written directive should establish procedures that ensure the prisoner is appropriately restrained and supervised. The circumstances under which restraints will be removed and additional security precautions, if any, should be specified.

**1.3.9** *A written directive requires that personnel receive training in the operations of the holding facility, including fire response procedures.*

**Commentary:** All employees should receive training in the operations of the holding facility, which may range from a basic familiarization with fire, escape alarm, and general security procedures for employees who have no direct involvement with the facility, to fire suppression and comprehensive security procedures for sworn officers.

**1.3.10** *A written directive specifies that firearms will be secured before entering the holding facility, and, if any exceptions or conditions are permitted in emergencies, they are included in the directive.*

**Commentary:** The agency should consider any other items, such as knives, batons, chemical sprays, etc., it may want to exclude from the holding facility environment when formulating its directive on the exclusion of firearms.

**1.3.11** *A written directive establishes minimum physical conditions for the holding facility, to include:*

- a Adequate lighting as required by local code or ordinance;*
- b Circulation of fresh or purified air in accordance with local public health standards;*
- c Access to toilet and drinking water;*
- d Access to wash basin or shower for detainee held in excess of eight hours; and*
- e A bed for each detainee held in excess of eight hours.*

**Commentary:** Sufficient air, lighting and sanitary facilities are essential to the health of detainees. Bedding issued to detainees held overnight should be clean, sanitary and fire-retardant. The directive may provide exceptions for detainees who are deemed to be suicidal.

**1.3.12** *The holding facility has an automatic fire alarm and heat and smoke detection system, which has been approved in writing by state or local fire officials, and a written directive prescribing fire prevention practices and procedures, to include:*

- a A weekly documented visual inspection and a semi-annual documented testing of fire equipment; and*
- b A daily visual inspection and documented testing of the automatic fire detection devices and alarm systems as required by local fire code.*

**Commentary:** The agency's fire detection and suppression systems should comply with the requirements of state code applicable to the facility. The agency should establish a regular schedule of testing these devices and request an inspection by the local fire marshal.

**1.3.13** *There is a written and posted emergency evacuation plan for the facility and a designated and signed emergency exit directing evacuation of persons to hazard-free areas.*

**Commentary:** If possible, two separate means of emergency exit should be provided. The evacuation plan should specify route of evacuation and subsequent disposition and housing of detainees. The plan should also include provisions for first aid and hospital transportation.

**1.3.14** *A written directive requires a search for weapons and contraband prior to and after each use of an unoccupied cell.*

**Commentary:** Prior to placing a prisoner in an unoccupied cell, agency personnel should visually scan the cell to the fullest extent possible for any items of contraband left by a previous occupant and any items which might have been left by prisoners or maintenance personnel.

**Revised 7/2013**

**1.3.15** *A written directive governs control of tools and culinary equipment.*

**Commentary:** A strict accounting should be made of all tools and utensils coming in and going out of the facility, as well as strict visual supervision of their use while inside the facility. A system to control tools and culinary equipment brought into the facility should apply to agency personnel and outside maintenance persons alike.

**1.3.16** *In the event of an emergency in the holding facility and officers are not equipped with “alert” or “panic alarm” systems or a means of two-way communication, there is a security alarm system linked to a designated control point.*

**Commentary:** The intent of this standard is to protect the safety of officers and prisoners by ensuring the agency has a means by which persons in the holding facility can alert other personnel of an emergency. This may be accomplished by audio-visual monitoring, “panic” alarms, or some combination of these methods. The standard may also be satisfied if other personnel (such as communications staff) are within audible range of the holding facility.

**Compliance may be OBSERVED.**

**1.3.17** *A written directive establishes procedures for searching detainees and accounting for each detainee’s property, to include:*

- a Entry to the holding facility; and*
- b An inventory search of the detainee at the time of booking and prior to an itemized inventory of property taken from the detainee.*

**Commentary:** The directive should ensure that all arrestees’ property is accounted for at the time it is taken under the agency’s control and/or returned to the detainee or to court personnel. The directive should require a written inventory signed by the agency employee performing the inventory, the detainee, and a witness, if possible. If the detainee refuses to sign an inventory, the refusal and reasons, if any, should be noted. The directive should refer to or include the agency’s policy on strip searches.

**1.3.18** *A written directive requires the secure storage of any property taken from detainees.*

**Commentary:** None.



**1.3.19** *A written directive requires that an intake form is completed for every person booked into the facility and contains the following information to the extent permitted by law:*

- a Arrest information; and*
- b Property inventory and disposition.*

**Commentary:** Intake information should enhance the ability of the facility staff to promote conditions that contribute positively to the health and security of the detainee, to the safety of others, to the security of the property, and to the positive identification of the detainee.

**1.3.20** *Male, female, and juvenile detainees are separated by sight and sound.*

**Commentary:** If the agency detains males, females and/or juveniles at the same time, each type of detainee must be separated from the others by sight and sound. (“Sound” refers to normal or loud conversation). Juveniles should never be processed with adult violators. The agency may comply with this standard by an actual physical separation of holding areas or by establishing policies which ensure each type of detainee is held separately (for example, female detainees may be taken to another agency if males are currently being held).

**1.3.21** *A written directive establishes methods for segregating and handling:*

- a Violent detainees;*
- b Suicidal detainees;*
- c Detainees with medical conditions;*
- d Disabled or handicapped prisoners; and*
- e Detainees under the influence of alcohol or other drugs.*

**Commentary:** Violent individuals should never be “doubled up” with other detainees, and additional precautions should be taken with those detainees who show evidence of suicidal behavior. The directive should specify when emergency committal should be performed. With regard to bullets (c) and (d), the agency’s holding facility and staff may not be equipped to handle detainees with special needs and guidelines for alternative arrangements should be prepared in advance.

**1.3.22** *When receiving a detainee from another agency, positive identification is made of the person presenting the detainee.*

**Commentary:** In cases where the agency is receiving a detainee from another agency, the agency assumes liability for the detainee. Presentation of credentials and/or confirming phone calls should ensure the detention and transfer is legitimate.

**1.3.23** *A written directive prescribes space arrangements and procedures to follow in the event of a group arrest that exceeds the maximum capacity of the holding facility.*

**Commentary:** The directive should address such matters as provision for extra personnel, additional physical facilities, and booking and detention procedures.

**1.3.24** *A written directive governs the return of property to detainees upon release.*

**Commentary:** Property should be compared with the inventory list and, if everything is in order, the detainee should sign a receipt for property returned. Property retained for evidentiary or other purposes should be noted on the receipt. If the detainee is released to a transporting officer for transfer to another facility, the property should be given to the transporting officer, who should sign the receipt. The facility should maintain a copy of the receipt for its files.

**1.3.25** *A written directive requires positive identification is made before an arrestee is released.*

**Commentary:** None.

**1.3.26** *A written directive, approved by a licensed physician or certified medical professional, identifies the policies and procedures to be followed when a detainee is in need of medical assistance.*

**Commentary:** Arrangements for detainee emergency health care should be made with a local medical facility. If possible, a licensed health care professional should be identified as the emergency health care contact person. At least one on-duty person should be certified in first aid. The intent of this standard is to ensure that staff recognize, take immediate action on, and report all detainee medical emergencies. **Revised 7/2013**

**1.3.27** *A written directive requires documented weekly inspections of the following:*

- a First aid kits which are made available to all facilities and replenished as necessary;*
- b Sanitation of the facility which specifies procedures for control of vermin and pests; and*
- c Security inspections of the facility including searching for weapons and contraband.*

**Commentary:** First aid equipment available to facility personnel should provide a capability for proper response to a broad range of anticipated emergencies. **Compliance may be OBSERVED.** Any condition conducive to harboring or breeding insects, rodents, or other vermin should be eliminated. If necessary, pest control professionals should be used to clean or fumigate the facility. At least once a week, bars, locks, windows, walls, floors, ventilator covers, glass panels, access plates, protective screens, doors, and other security devices should be checked carefully for operational wear and detainee tampering. Inspections should include occupied and unoccupied cells. Results of these inspections should be submitted in writing to the chief executive officer or his designee. All defective security equipment should be replaced or repaired immediately. All holding areas and other areas to which detainees have access should be searched for weapons and contraband.

**1.3.28** *A written directive requires that the following information at a minimum is recorded at the time of admission to the holding facility:*

- a Suicide risk assessment;*
- b Information concerning the detainee's health conditions and any medications taken or needed;*
- c Screen for body deformities, trauma markings, bruises, lesions, jaundice, ease of movement; and*
- d An assessment of apparent physical and mental condition.*

**Commentary:** Agency personnel should observe and briefly interview detainees. In particular, the agency should attempt to detect obvious indications of suicide risk and note any existing injuries a detainee has upon admission to the holding facility. A checklist and fill-in form completed for each detainee would suffice to comply with this standard.

**1.3.29** *If the agency dispenses pharmaceuticals, a written directive establishes procedures for control and documentation.*

**Commentary:** If the agency dispenses any type of medication to detainees (including over-the-counter medication), procedures should be in place to ensure control and documentation. The agency should consider the possibility of drug interaction effects and allergic reactions to medication when developing policy; detainees may deliberately mislead the agency, or may in fact not be aware of potential problems when requesting medication. The agency may refuse to dispense medication and instead transport detainees to a medical facility when needed.

**1.3.30** *A written directive requires 24-hour supervision of detainees by agency staff (including a count of the detainee population at least once every eight hours, and establishes procedures to ensure that the detainee is visually observed by agency staff at least every 30 minutes, and if audio and/or visual electronic surveillance equipment is used, a written directive specifies that the equipment will be controlled to reduce the possibility of invading a detainee's personal privacy.*

**Commentary:** Twenty-four-hour supervision is essential for maintaining security and ensuring the safety and welfare of detainees. Supervision, as used in this standard, assumes agency staff is present in the same building that houses the holding facility and not at a remote location. One intent of this standard is to prohibit delegating supervision to a trustee. In addition to a count of the detainee population at least once every eight hours, other counts may be necessary prior to and following certain activities, such as night lockup, recreation, and meals.

Care should be taken during physical checks that the detainee does not anticipate the appearance of agency staff. Detainees who are security risks should be under closer surveillance and require more frequent observation. This classification includes not only detainees who are violent but also those who are suicidal or mentally ill or demonstrate unusual or bizarre behavior. Agencies are encouraged, but not required, to introduce direct physical checks whenever possible, but

detainees may be observed through audiovisual means. Electronic surveillance devices, such as television cameras and listening devices should be used primarily at critical locations of movement in the facility. They should not be used in such a way that they violate the personal privacy of detainees. Exceptions may be made, and they should be noted in the directive.

**1.3.31** *If detainees are allowed to receive mail or packages while incarcerated, a written directive regulates procedures, to include:*

- a Accepting and inspecting items;*
- b Listing items which are not authorized;*
- c Recording received items in the detainee's property record; and*
- d Distribution to the detainee.*

**Commentary:** Holding facilities are generally not prepared to deal with the problems and hazards associated with receiving property on behalf of a detainee in their custody. To avoid problems, agencies may wish to prohibit all deliveries to detainees until they are released or transferred to a long-term correctional institution. If allowed, cash, checks, or money orders received from incoming mail or from visitors should be carefully inspected, duly receipted, added to the detainee's property inventory report, and housed with the detainee's other property. All items received should be carefully inspected for weapons, contraband, or threats to the security of the holding facility. The policy chosen by the agency should be in writing and consistently applied in all situations.

**1.3.32** *If an agency allows visitors for detainees a written directive governs this procedure.*

**Commentary:** Holding facilities are generally not equipped to handle visitors. Visits should be discouraged until detainees arrive at the appropriate correctional institution where visitations can be appropriately managed. Holding facility security is paramount. All contact with a detainee should be closely monitored and controlled to avoid transfer of weapons or contraband. In exceptional situations, where a detainee should meet with a visitor, such as an attorney, the detainee should be removed from the holding facility and brought to another location for the meeting. The detainee should be carefully searched before leaving and reentering the holding facility. Each visitor should be required to register his or her name, address, and relationship to detainee upon entry. Generally, all visitors, and their belongings, coming into direct contact with detainees should be searched.

**1.3.33** *A written directive identifies the procedures for the following:*

- a Supervision and accountability for temporary detainees;*
- b Authorization for use of the temporary holding area;*
- c Temporary restraint of detainees by securing them to fixed objects; and*
- d The separation of males, females and juveniles.*

**Commentary:** Agencies often need to interview or detain persons before they are arrested or booked. Daily police operations are often unpredictable, and it may be necessary to use a room, space, or area to separate persons under arrest, maintain control, wait for bonding, clean up a temporary booking backlog or prepare paperwork for court.

**1.3.34** *A written directive establishes minimum physical conditions for the temporary holding area or room and provides for access to water, restrooms, and other needs.*

**Commentary:** These items are not required to be in the room, but the agency is responsible to ensure these items are provided in a timely manner.

**1.3.35** *If the temporary holding area is used, the period of time that a detainee may be held without continuous control or supervision of agency personnel will not exceed two hours.*

**Commentary:** None.

**1.3.36** *If a detainee is to be secured to an immovable object, it will be designed and intended for such use.*

**Commentary:** This method of detention should only be used when no other suitable method is available. Immovable objects designed for this purpose may include a ring or bar to which a handcuff can be secured.

**1.3.37** *There is a plan for fire prevention, fire evacuation, and fire suppression for the temporary holding area or room.*

**Commentary:** None.

**1.3.38** *A written directive addresses the following security concerns in the temporary holding area:*

- a Weapons control;*
- b Panic or duress alarms;*
- c Access to area and prisoner;*
- d Escape prevention;*
- e Search of detainee;*
- f Security inspection; and*
- g Visual observation of detainee at least every 30 minutes.*

**Commentary:** Some detainees are a potential threat to themselves and agency staff so appropriate safety precautions should be taken while maintaining legal and reasonable conditions of treatment. The standard does not require the agency to adopt any specific procedures or the installation of alarms.

**1.3.39** *A written directive requires training for all agency staff with any responsibility for detainees in temporary custody.*

**Commentary:** None.

**1.3.40** *Unless specifically excepted by the nature of the assignment, every on duty officer has a portable radio providing 24-hour two-way continuous communication to the agency's communications center.*

**Commentary:** Immediate communication with a central point is essential to officer safety; therefore, every uniformed officer or non-uniformed officer performing law enforcement duties in the community at large should be equipped with a portable radio. The intent of this standard is to ensure that circumstances in which officers do not have portable radios have been reviewed for the degree of risk involved. The agency should review assignments on a case-by-case basis: such assignments would include those with little risk of exposure to hazardous situations.

**1.3.41** *The agency's emergency communications function has the capability of immediate playback of recorded telephone and radio conversations while maintaining continuous recording of radio transmissions and emergency telephone calls.*

**Commentary:** These recordings are an indispensable source for criminal investigations, internal investigations, training, and audits of the agency's service delivery system. The citizen requesting service or the officer wanting assistance may not be able to repeat an emergency conversation that was garbled or too quick for easy understanding. Therefore, the agency should have the capability to replay a conversation while recording other calls and radio transmissions.

**Compliance may be OBSERVED. Revised 7/2013**

**1.3.42** *If the agency authorizes emergency first-aid instruction over the telephone or radio, employees must be trained and have immediate access to approved emergency medical guidelines or materials.*

**Commentary:** The training should be approved by a competent authority and should be designed to provide emergency life-saving information to callers until emergency medical personnel arrive at the scene. Retraining should also be provided on a schedule approved by a competent authority. The material/guidelines and training should be complementary.

**1.3.43** *The agency has an alternate source of power sufficient to ensure continued operation of emergency communications in the event of a power failure. A documented test of the alternate power source is conducted in accordance with manufactures recommendations or at a minimum monthly and an operational test, under full load, be conducted at least once within a twelve month period.*

**Commentary:** Preventable interruption of the agency's emergency communications system could result in liability exposure; the weekly inspection ensures the agency can demonstrate it took reasonable precautions to prevent such an interruption. Documentation regarding the activation of the system due to power failure may be used to establish the under full load test requirement providing they occur not more than twelve months apart. Testing of systems that are designed to operate the entire or part of the facility should be scheduled during off peak time to reduce the interruption or restarting of computerized or electronic systems. Agency should maintain a record which documents the actual use of the power source and maintenance/repair activities. **Revised 7/2013**

**1.3.44** *A written directive establishes a field-reporting system to include:*

- a Guidelines to indicate when reports must be written;*
- b Forms to be used in field reporting;*
- c Information required in field reports;*
- d Procedures to be followed in completing field reports; and*
- e Procedure for submitting and processing field reports.*

**Commentary:** This directive may be in the form of a field-reporting manual that describes and illustrates the information to be included on report forms. The document should be all inclusive and serve as the complete user's guide, as well as a resource guide in all field-reporting situations. A suggested set of field-reporting forms would include the following: offense report; supplemental report; traffic accident report; arrest report; property report; prosecution report; and complaint control and miscellaneous incident report. The forms may be more specialized than those listed, e.g., crimes against persons, crimes against property. The forms may also be consolidated to serve the purposes identified in the standard. The complaint control and miscellaneous incident report can be initiated by dispatchers and may serve as a control document and/or as the full report of a miscellaneous incident. The agency should adopt a set of forms to standardize field reporting and structure them to ensure that basic information is captured for all crimes and incidents. Samples of the forms should be included, with clear instructions for filling out and submitting the field reports. If the agency is using a computerized system, the guide should address procedures for use.

**1.3.45** *Qualified personnel are available on 24-hour basis to process crime/crash scenes.*

**Commentary:** If a crime/crash has occurred and involves the prompt collection and preservation of physical evidence, 24-hour crime scene processing capability should be available. When the immediate services of a crime scene processor are required, personnel with these skills should be notified as soon as possible. In many cases, the implementation or continuation of the investigative process should await completion of certain aspects of the crime scene processor's work. Therefore, it is important that the processor be notified to coordinate their arrival at the scene and to provide instructions to on-scene personnel on how to proceed until they arrive. Smaller departments may have skilled personnel on call or may have arranged to acquire such personnel from another agency.

**1.3.46** *A written directive requires that the transfer of custody of physical evidence is documented.*

**Commentary:** The record of transfer of physical evidence should include the following: date and time of transfer; receiving person's name and functional responsibility; reason for the transfer; name and location of the laboratory; synopsis of the event; examinations desired; and date of transfer to a laboratory not within the agency. This standard applies to all persons, functions, and components.

**1.3.47** *A written directive establishes procedures for receiving and controlling all in-custody property and evidence, to include:*

- a Requiring all property to be logged into agency records as soon as possible;*
- b Requiring all property to be placed under the control of the designated property and evidence control function before an officer ends his or her shift;*
- c Requiring a written report describing each item and how it came into the agency's possession;*
- d Providing guidelines for packaging and storage;*
- e Providing secure storage for all property and evidence;*
- f Establishing separate security measures for handling valuable or sensitive items, including drugs, money, and firearms;*
- g Requiring an effort to notify the owner of property in the agency's custody;*
- h Limiting access to storage areas to specific, authorized personnel;*
- i Establishing procedures for temporary and final release of items from the property and evidence control functions;*
- j An inspection of in-custody property and evidence at least annually;*
- k An inspection of property and evidence by a supervisor not normally associated with that function once per year;*
- l Requiring that all in-custody property and evidence is stored within a designated secure area.*

**Commentary:** The importance of proper evidence and property control cannot be overemphasized: it is essential to effective law enforcement and has significant potential to expose the agency to civil liability. The agency should ensure the chain of custody is maintained at all times; a system should be in place to put items under the control of the evidence/property control function once it leaves the collecting officer's hands - a system of drop-boxes or temporary storage lockers would accomplish this requirement. All items should be packaged and labeled in a standardized and tamper-resistant manner. With regard to bullet (k), the intent of this inspection is to confirm the integrity of the system by a third party. **Revised 7/2013**

**1.3.48** *Secure facilities are provided for storage of in-custody or evidentiary property during periods when the property room is closed.*



**Commentary:** Provisions should be made for securing items of property when the property room is closed. Several methods can be followed to achieve this objective, such as installation and use of one-way drop boxes, lockers, and specially designed containers.

**1.3.49** *Records reflect the status of all property held by the agency.*

**Commentary:** Fundamental to the operation of the property room is a records system that reflects the location of the property; date and time when the property was received or released; character, type, and amount of property on hand; and chain of custody from the time the property was stored until its destruction or other final disposition. Many agencies have successfully installed a “bar coding” system for property management.

**1.3.50** *The following documented inspections, inventories and audits shall be completed:*

- a An inventory of property occurs whenever the person responsible for the property and evidence control function is assigned to and/or transferred from the position and is conducted jointly by the newly designated property custodian and a designee of the CEO to ensure that records are correct and properly annotated;*
- b Unannounced semi-annual inspections of property and property storage areas held by the agency are conducted by a supervisor not routinely or directly connected with control of property as directed by the agency’s Chief Executive Officer; and*
- c. A biennial random audit of property and evidence held by the agency is conducted by a supervisor not routinely or directly connected with control of property and evidence.*

**Commentary:** The inspection is conducted to determine that the property room is being maintained in a clean and orderly fashion, that the integrity of the property is being maintained, that provisions of agency orders or other directives concerning the property management system are being followed, that property is being protected from damage or deterioration, that property accountability procedures are being maintained, and that property having no further evidentiary value is being disposed of promptly. The purpose of the inventory is to ensure the continuity of custody and not to require the accounting of every single item of property. The inventory should be sufficient to ensure the integrity of the system and the accountability of the property. During the joint inventory, a sufficient number of property records should be reviewed carefully with respect to proper documentation and accountability. The person assuming custody of the property should ensure that all records are current and properly annotated. All discrepancies should be recorded prior to the assumption of property accountability by the newly appointed custodian. **Revised 7/2013**

**1.3.51** *A written directive requires the transporting officer to search the prisoner before being transported.*

**Commentary:** The transporting officer is legally responsible for the safety and custody of the prisoner being transported. It must be assumed that the prisoner may have had an opportunity to obtain contraband or a weapon prior to the time he or she is accepted for transport by the officer.

It should never be assumed by the officer that someone else has searched the prisoner. Prisoners should be searched each time they come into the transporting officer's custody, including transport to and from court appearances. The directive should clearly define agency policy on the types of searches that may be conducted, describe when and where they may be conducted, and provide strict procedures on how and by whom each type of authorized search may be performed. Exceptions, if allowed, should be listed. If conducted, strict guidelines on "strip" searches and/or "body-cavity" searches should be established and included in this directive.

**1.3.52** *A written directive requires examination at the beginning of each shift of all vehicles used for transporting prisoners and the search of any transport vehicles prior to and after transporting prisoners.*

**Commentary:** The intent of this standard is to ensure that any vehicle used to transport a prisoner is free of weapons and contraband before and after the prisoner comes in contact with the vehicle. An examination before beginning each shift will ensure the vehicle has not been tampered with since last used, is free of weapons and contraband, is mechanically safe, is free of damage or defect, and is properly equipped for use. Each time a prisoner is to be transported, the vehicle should be examined to ensure that no weapons or contraband are present. Some latitude may be allowed where an officer has been in constant control of the vehicle following the pre-shift examination and the introduction of the prisoner to the vehicle; however, most vehicles will not have been under constant supervision and officers should not assume that no opportunity has existed for the introduction of weapons, contraband, or other items. Once a prisoner has been removed from the vehicle, a thorough search should be conducted as soon as practical, but, in all cases, before the vehicle is reused. This will not only ensure that the prisoner has left nothing in the vehicle, but, if items are found, link them in a timely manner to the prisoner.

**1.3.53** *A written directive prescribes actions to be taken at the destination of officers transporting prisoners to a facility, to include at a minimum:*

- a Secure firearms for safekeeping;*
- b Removing restraining devices just prior to placing the prisoner in the cell;*
- c Delivering documentation to the receiving officer; ~~and~~*
- d Obtaining the signature of the receiving officer and/or written documentation detailing the prisoner transaction;*
- e Advising receiving agency personnel of any potential medical or security hazards; and*
- f Methods to be used in identification of prisoners being transported between facilities.*

**Commentary:** Procedures for the release or transfer of prisoner medical information should address the need to comply with controlling legislation. In lieu of a written receipt the officer may document the transfer of the prisoner in a written report to include the receiving official's name. Each prisoner being transported from a detention facility should be identified as the person who is to be moved. Booking records and numbers assigned to the prisoner in the detention facility should be verified and the person concerned confirmed as the person described in the records.

**1.3.54** *Following an escape of a prisoner while being transported, the transporting officer takes actions prescribed by a written directive, to include, at a minimum, the following:*

- a Persons to be notified;*
- b Reports to be prepared; and*
- c Further actions to be taken.*

**Commentary:** If the escape occurs in another jurisdiction, the authority of the escort officer to take action in recovering the prisoner will depend upon the powers officers have in that jurisdiction. Depending upon the state, these will include peace officer powers anywhere within the state, within a mutual aid area, or only within the specific jurisdiction served by the officer.

**1.3.55** *The agency has the continuous ability to respond to emergency calls for service.*

**Commentary:** This standard does not require continuous patrol presence “on the road” (for example, at shift change). However, the agency should ensure that officers are always available for immediate response to emergency calls for service. Officers at roll call with immediate access to police vehicles would meet the intent of this standard.

**1.3.56** *If the agency has special-purpose vehicles, bicycles, horses, or canines, a written directive establishes the following:*

- a Circumstances under which they may be used and personnel authorized to do so;*
- b Authorization required for use;*
- c Qualifications and training for personnel assigned to operate the vehicle, bicycle or control the animal;*
- d Procedures for maintenance or care; ~~and~~*
- e Special equipment to be kept with, in, or on the vehicle, bicycle or animal;*
- f Instruction, conditions and limitations of use; and*
- g Statement of objectives of operation of the vehicle, bicycle or animal.*

**Commentary:** Other special-purpose vehicles include boats, ATV’s, motorcycles, and Jet Ski’s.

**1.3.57** *A written directive establishes procedures for handling missing persons, including at a minimum:*

- a Procedures for gathering and disseminating information, including entering information into COLLECT/ NCIC;*
- b Procedures for canceling a COLLECT/NCIC when the individual is located;*
- c Procedures for other special situations; and*
- d Follow-up and validation of missing person’s reports.*

**Commentary:** Written procedures should address gathering information and evaluating the situation in order to ensure an appropriate response by the agency. Responsibility for follow-up and canceling the report should be assigned.

**1.3.58** *The agency has a written directive concerning missing children, including runaway, abandonment, abducted or other missing status that includes the following:*

- a A policy statement concerning missing or unidentified children;*
- b Criteria for supervisory notification;*
- c Information required for immediate notification of appropriate inter- and intra- agency coordination;*
- d Criteria for activation of Amber Alert Systems or other public notification;*
- e Responsibilities of call takers, first responders, supervisors and investigators; and*
- f Follow –up responsibilities.*

**Commentary:** The directive should consider the notification of appropriate agencies and their responsibilities for inter- and intra- agency support, such as federal law enforcement, social services, and the media. Systematic searches are common features of missing child investigations. The National Child Search Assistance Act of 1990 mandates law enforcement's immediate response to reports of missing children, and the prompt entry of descriptive information into the NCIC missing persons file. Agencies should insure that they include the use of the statewide AMBER Plan in their procedures for responding to children who are victims of non-family abductions. Proper recovery and case closure may need to involve more than just notifying proper authorities and clearing COLLECT/NCIC entries. Based upon post-recovery interviews with the victims, additional investigation could lead to the discovery of further serious offenses committed, or permitted by adults, associated with the missing children. Detailed information and recommended policies and procedures are available for the National Center for Missing & Exploited Children, the IACP National Law Enforcement Policy Center and the International Center for Missing & Exploited Children. Including provided information to the missing child clearinghouse as required. C.G.S 29-1e.

**1.3.59** *A written directive establishes procedures for maintaining a warrant and wanted person's file; establishes a system allowing field personnel to confirm the existence of protective orders/Restraining orders on file with the agency on a 24-hour basis and establishes criteria for entering notices in regional, state, federal information systems.*

**Commentary:** Agency personnel should be able to check for active warrants, protective orders and restraining orders placed on file with the agency on a 24-hour basis. Procedures should be established to ensure the agency enters and updates its own warrant information in compliance with state guidelines.

**1.3.60** *The agency has access to personnel, equipment, and supplies used for processing scenes, including at a minimum:*

- a Recovery of latent fingerprints;*
- b Photography;*
- c Sketch of scene;*
- d Collection and preservation of evidence; and*
- e Crash investigation.*

**Commentary:** The agency does not need to have a full-time investigative unit; however, the agency should have the capability to properly process a crime scene on a timely basis.

**1.3.61** *A written directive establishes a policy concerning response to sexual assault in compliance with state statute.*

**Commentary:** The directive should include the statement that sexual assault victims' names shall not be released to the public or press.

**1.3.62** *A written directive establishes a family violence policy in compliance with C.G.S. 46b-38b.*

**Commentary:** None.

**1.3.63** *The agency has a written emergency mobilization plan, which is annually reviewed and updated as needed.*

**Commentary:** In order to respond promptly and effectively to situations which require mobilization of additional police personnel, the agency should develop a written procedure for emergency mobilization. The procedure should address who initiates mobilization and the order of calls made; provide immediate access to needed phone numbers; and designate an individual or position responsible for coordinating the mobilization, determining how many personnel are needed, and recording the names and number of personnel who report for duty. Appropriate personnel should have immediate access to the plan. **Revised 7/2013**

**1.3.64** *A written directive requires an "after action" review and report is forwarded to the agency's chief executive officer following any serious critical incident.*

**Commentary:** "Critical incidents" include natural and human-made disasters such as floods, hurricanes, earthquakes, explosions, tornadoes, and major fires, as well as significant events such as civil disturbances, mass arrests, and hostage situations. The agency's chief executive should receive a report summarizing and evaluating police action throughout the incident. ÷ Such a report will enable the CEO to prepare for any liability-related issues resulting from the incident and prevent them from arising in the future.

**1.3.65** *A written directive establishes procedures for investigating an internal review of crashes involving agency vehicles as well as those from other law enforcement agencies.*

**Commentary:** It is imperative the agency avoid any appearance of impropriety when investigating accidents involving law enforcement vehicles and personnel. The directive should establish responsibility for conducting an investigation, required components of an investigation, and procedures for review to ensure completeness and impartiality, as the incident is likely to receive a heightened level of public scrutiny. The directive should also clearly establish the relationship between the agency and other law enforcement agencies who may wish to conduct their own investigation.

**1.3.66** *A written directive establishes procedures for emergency response and the use of emergency equipment in compliance with C.G.S. 14-283.*

**Commentary:** The directive should distinguish between levels of response and provide guidelines for the level of response to be used, the circumstances under to which violations of traffic regulations are authorized, and require the use of lights and sirens when appropriate. The agency should ensure its personnel understand that violation of traffic regulations without the use of emergency equipment is not protected under statute.

**1.3.67** *A written directive requires the use of seat belts and child restraint system in all agency vehicles.*

**Commentary:** Refer to C.G.S. 14-100a.

**1.3.68** *A written directive governs escorts of civilian vehicles.*

**Commentary:** Escorts of civilian vehicles - whether in the event of a medical emergency, during a funeral procession, as requested by a VIP, or under other circumstances carries a high potential for liability. The agency may establish a blanket policy, a procedure for making case-by-case judgments, or some combination of these options. At a minimum, the directive should clearly establish the circumstances under which escorts are permitted, prohibited, and procedures for ensuring they are carried out in the safest possible manner.

**1.3.69** *A written directive establishes procedures for correcting hazards and/or conditions which endanger roadway safety.*

**Commentary:** The intent of this standard is to ensure motor vehicle accidents or pedestrian injuries do not occur as a result of hazards or conditions already known to the agency. Hazards should be promptly corrected by agency personnel or referred to the appropriate agency (such as a local public works department); communications personnel should have a list of contact numbers for referrals. If necessary, agency personnel should remain on-scene until the hazard is corrected (for example, downed wires in the roadway).

**1.3.70** *A written directive specifies the equipment to be included in every patrol vehicle and establishes a system to ensure replenishment of supplies for operational readiness.*

**Commentary:** None.

**1.3.71** *A written directive establishes procedures to be followed in the event of an escape from the holding facility.*

**Commentary:** The agency's response will be faster and more efficient and thus more likely to result in recapturing the escapee, if procedures are established in advance. All agency personnel should be aware of the procedures to be followed in the event of an escape from the holding facility.

**1.3.72** *A written directive requires that transporting officers not leave prisoners unattended and establishes under what conditions an officer may interrupt a prisoner transport for necessary stops and/or to render emergency assistance.*

**Commentary:** The primary duty of the transporting officer is the safe delivery of the prisoner in his or her care. This directive should stipulate circumstances under which the transporting officer can stop to respond to the need for law enforcement services while transporting a prisoner, if allowed. However, the directive should caution that diversionary incidents whether or not instigated by persons attempting to free the prisoner, may divert the transport officer and place the prisoner in jeopardy or enhance chances for escape. General principles of tort law impose a duty of care on the transporting officer to protect the prisoner from injury. Only when the risk to third parties is both clear and grave and the risk to the prisoner is minimal should the officer stop to render assistance. During long distance transports, care should be taken when stopping for fuel and meals or for allowing the prisoners reasonable opportunities to use toilet facilities. Locations should be alternated and randomly selected. Normally, no stops will be made while transporting from the point of arrest to the booking/processing location. **Revised 7/2013**

**1.3.73** *A written directive governs control of property belonging to crash victims.*

**Commentary:** In the event a victim is transported to a hospital and/or their vehicle is towed, a written directive should indicate who is responsible for the victim's property. The agency may place such a responsibility on the tow vendor. The intent of this standard is to ensure some effective procedure is in place not necessarily to require the agency to take possession of all property.

**1.3.74** *A written directive establishes procedures for the prompt handling and routing of misdirected emergency calls.*

**Commentary:** The intent of this standard is to ensure communications personnel are given the responsibility to reroute misdirected emergency calls and provided the resources to do so effectively. Such resources might include a listing of the phone numbers of adjoining jurisdictions and other emergency service agencies in the area (such as fire departments in neighboring communities).

# **TIER II**

## **INTRODUCTION**

This manual, the **POSTC Professional Accreditation Program Standards Manual**, serves as the second stage of a tiered system. Tier II is referred to as **“Professional Accreditation”** and consists of mandatory standards unless otherwise indicated, 5% option, as those addressed on Tier I, **“Liability Accreditation.”** The remaining tier will be Tier III and referred to as **“General Management.”**

The professional standards are in three chapters, which are:

**Chapter 1 Legal Requirements,**

**Chapter 2 Management,**

**Chapter 3 Operations.**

The POST Council has approved a five percent option, where a department may chose not to comply with four (4) of seven (7) identified standards in Tier II. The standard which are eligible for this option (5% Option) are identified at the end of the commentary section of the standard. A list of these standards can be found in Appendix E



## Chapter 1: Legal Requirements

### General Legal Requirements

**2.1.1** *Moved to 1.1.13 (reserved for future use)*

**2.1.2** *Moved to 1.1.14 (reserved for future use)*

**2.1.3** *The agency has a written directive that governs procedures for requesting federal law enforcement or National Guard assistance in emergency situations and has a written agreement with neighboring law enforcement agencies to provide mutual aid in emergency situations. The mutual aid agreement must include, at a minimum, the following details:*

- a The legal status of agencies and agency personnel responding to mutual aid requests;*
- b Procedures for vesting provider agency personnel with the legal authority to act within the receiver agency's jurisdiction;*
- c Procedures for requesting mutual aid;*
- d Identity of those persons authorized to request mutual aid;*
- e Identity of persons to whom outside personnel are to report;*
- f Procedures for maintaining radio communication with outside personnel;*
- g Expenditures, if any, which should be borne by the receiver agency to compensate for the use of the provider agency's resources; and*
- h Procedures for review and revision if prescribed in the agreement.*

**Commentary:** Emergency situations often require augmented law enforcement capabilities to restore order or assist victims. The agency's mutual aid agreement should provide all the information necessary to initiate mutual aid activities either on behalf of the agency or at the request of a neighboring law enforcement agency.

The agreement should also consider provisions for the indemnification of the provider agency and its personnel, e.g., life, health, and liability insurance. Whether the agency operates under existing legislation or a mutual aid agreement, it should have a plan for providing or receiving aid in unusual occurrence situations. The plan should assess the extent of aid that could be provided while maintaining adequate law enforcement coverage in the service area. The types and amounts of major resources should be estimated and their locations listed. Planning should also involve liaison with other agencies that may be involved when mutual aid is invoked.

**2.1.4** *A written directive describes the agency's retirement program, disability and death benefits program, liability protection program and employee educational benefits if any.*

**Commentary:** The agency's retirement program may be provided by a local jurisdiction, the state, or the federal Social Security Act. The program may indicate a minimum-age requirement and a mandatory age for retirement. The directive should note the extent to which each benefit is available to the various classes of personnel employed by the agency (full-time, part-time, auxiliary, and reserve personnel, as appropriate). The agency should, through insurance programs or direct financial support, provide compensation for temporary, partial, or total service-connected disability.

A monthly compensation for survivors in case of a service-connected death should be provided. Specific provisions of the program should cover employees for actions or omissions directly related to their law enforcement function. The program should protect employees from liability arising from acts or omissions leading to personal injury, death, or property destruction that, in turn, could lead to legal civil action against them.

When offered, educational benefits go beyond those opportunities provided employees through in-service, specialized, and advanced training. Generally, the employees pursue higher education on their own initiative and on their own time. Because the value of employees to the organization is enhanced by their continuing education, the agency should encourage and facilitate their pursuit of higher education and provide whatever tangible benefits it can to them for academic achievement. Educational benefits may include leave, scheduling adjustments and accommodation, tuition reimbursement, and salary augmentation based on educational achievement.

**2.1.5** *The agency's job announcements and recruitment notices for sworn personnel:*

- a Provide a description of the duties, responsibilities, requisite skills, educational level, and other minimum qualifications or requirements;*
- b Advertise entry-level job vacancies through electronic, print, or other media;*
- c Advertise the agency as an equal opportunity employer on all employment applications and recruitment advertisements; and*
- d Advertise official application filing deadlines.*

**Commentary:** The agency should provide the most accurate and precise job description possible to avoid undue delay and wasted time on the part of the agency and the applicant. When the most important performance dimensions are known, potential applicants are in a better position to relate their particular knowledge, understanding, and skills to those required by the position to be filled. The agency saves the time and expense of making determinations that the applicants could have made, had they been fully apprised.

The agency should ensure that job announcements do not set standards or criteria that even unintentionally screen out, or tend to screen out, an individual with a disability or class of

individuals with disabilities, unless the criteria are job-related and consistent with business necessity. Job announcements should not set standards that cannot be specifically supported and should avoid general requirements such as “excellent health” or “no history of psychological or emotional disorders.” (Refer to Section 102, Americans with Disabilities Act).

**2.1.6** *All elements of the selection process for sworn personnel use only those rating criteria or minimum qualifications that are job-related.*

**Commentary:** The intent of this standard is to ensure that candidates are evaluated by a selection process that measures traits or characteristics that are a significant part of the job. It is not sufficient for an agency to merely say in a directive that its procedures are job-related.

However, there are a variety of means by which job relatedness can be shown. An agency may choose, for example, to demonstrate that an oral examination measures traits that are shown by the task analysis to be significant or necessary to perform the job. An assessment center may be shown to measure the performance of tasks or skills that the task description has shown to be essential job functions. The agency may also demonstrate job relatedness through a process, which validates the selection mechanism as a predictor of future job success.

A written test may be statistically validated as being able to assess skills necessary for the job of sworn officer. Many commercially produced tests have documentation that will support validation. Agencies are encouraged to seek assistance in this area from competent personnel resources as many of the validation concepts are technical and/or unfamiliar to police professionals. Nothing in this standard should be interpreted as preventing an agency from using a combination of methods to document the job relatedness of its selection process. The goal of this standard is to ensure that the agency has the documentation necessary to make a logical and persuasive case, in the event of legal challenge, that the elements of the selection process measure skills, knowledge, abilities, and traits needed to perform that job.

**2.1.7** *A written directive requires that all elements of the selection process for sworn personnel be administered, scored, evaluated, and interpreted in a uniform manner.*

**Commentary:** Operational elements of the selection process, time limits, oral instructions, practice problems, answer sheets, and scoring formulas should be clearly set forth and carried out identically for all candidates. Failure to do so may preclude validation of the process and make the agency susceptible to legal challenges.

**2.1.8** *A written directive governs the disposition of the records of candidates for sworn positions determined to be ineligible for appointment.*

**Commentary:** Refer to state records retention schedule.

**2.1.9** *If investigative task forces are used, a written directive governs their activities, to include:*

- a Identifying the purpose;*
- b Defining authority, responsibilities, and written agreements;*
- c Establishing accountability;*
- d Identifying resources available; and*
- e Evaluating results and their continued necessity.*

**Commentary:** The directive may be a product of the task force or the participating agency. This standard applies to task forces formed within an agency or as a mutual effort among agencies having concurrent or adjoining jurisdictions. The criteria for the use of task forces should be specified in the directive. The kinds of offenses for which they should be used and the procedures for control and evaluation should be outlined. (5% Option Available)

**2.1.10** *If the agency performs an intelligence function, procedures must be established to ensure the legality and integrity of its operations to include:*

- a Procedures for ensuring information collected is limited to criminal conduct and relates to activities that present a threat to the community;*
- b Descriptions of the types or quality of information that may be included in the system;*
- c Methods for purging out-of-date or incorrect information; and*
- d Procedures for the utilization of intelligence personnel and techniques.*

**Commentary:** The intent of this standard is to establish agency accountability for the criminal intelligence function in writing. The function should be developed and operated to effectively meet the agency's needs. Proving compliance with this standard may be accomplished through a series of documents or a single, all-inclusive directive. For this standard, the agency has several options. First, this function may be an extension of the criminal investigation function. In this case, functional responsibility and position accountability can simply be described in the Criminal Investigation directive(s).

On the other hand, the agency may wish to assign this function with its vice, drug and/or organized crime control functions(s). In this case, the description of functional responsibility may be addressed within those directives. The placement of this function within the organizational structure is optional but carries with it the responsibility for complying with the standards in this chapter. Intelligence activities are important in all agencies, regardless of size. Certain essential activities should be accomplished by an intelligence function, to include a procedure that permits the continuous flow of raw data into a central point from all sources; a secure records system in which evaluated data are properly cross-referenced to reflect relationships and to ensure complete and rapid retrieval; a system of analysis capable of developing intelligence from both the records system and other data sources; and a system for dissemination of information to appropriate components.

The intelligence activities should include information gathering, analysis, and dissemination to the appropriate functions/components. Activities undertaken in the intelligence effort should avoid indiscriminate collection or distribution of information.

Training in the safe, effective and legal use of specialized intelligence equipment is required prior to personnel using the equipment. All use should be carefully documented. This equipment may include audio and/or visual monitoring equipment, night vision equipment, and specially designed surveillance vehicles. If the agency maintains a confidential fund for intelligence activities, control and management of the fund should comply with all applicable standards related to the confidential fund.

**2.1.11** *A written directive summarizes the rights of victims and witnesses.*

**Commentary:** State victim bill-of-rights legislation or similar statutes may serve as a written directive if distributed to all employees. Refer to C.G.S. 54-203 and 54-208.

## Chapter 2: Management

### Personnel

**2.2.1** *The agency has a position management system, which provides the following information:*

- a The number and type of each position authorized in the agency's budget;*
- b Location of each authorized position within the agency's organization structure; and*
- c Position status information, whether filled or vacant, for each authorized position in the agency.*

**Commentary:** The intent of this standard is to establish controls on the number, type, and location of all authorized positions in the agency and to determine whether each position is filled or vacant. Accurate information on position status should ensure that persons on the payroll are legally employed and that positions are filled in accordance with budget authorizations. Accurate accounting of positions should also facilitate recruitment, selection, and training schedules; allow for accurate decisions in filling vacant positions through transfers and promotions; enhance career development; and reduce grievances. **(5% Option Available)**

**2.2.2** *The agency identifies specialized assignments and announces anticipated openings for specialized assignments agency-wide and fills those positions through a selection process.*

**Commentary:** Advertising agency-wide for specialized assignment openings provides a large base of candidates and gives employees a greater choice of career opportunities. It also minimizes the feeling that selection is based on favoritism. However, for security reasons, it is not necessary for the agency to announce, in writing, openings for undercover or similar assignments. The agency-wide announcement should describe the selection criteria for the position(s) to be filled. The criteria should be based on the skills, knowledge, and abilities required for the specialized assignment, including formal education, experience, any specialized skills, and length of experience required. The agency should fill positions to vacant specialized assignments through a selection process. The process may be informal but should consider all responses to the announcement and follow the criteria established. Specialized assignments are determined by the agency. **Revised 7/2013 (5% Option Available)**

**2.2.3** *A written directive describes the agency's salary program, to include*

- a Entry-level salary for the agency;*
- b Salary differential within ranks;*
- c Salary differential between ranks;*
- d Salary levels for those with special skills, if any;*
- e Compensatory time policy;*
- f Overtime policy; and*

*g The provision of salary augmentation.*

**Commentary:** The salary plan for the agency should take into account agency employment standards, agency skill needs, and salary levels offered by other local employers. The salary plan should be based on the agency's position classification plan and provide for differentiation between ranks, uniform percentage increases between classes and ranks, and room within the ranges for recognition of superior performance. The salary schedule may provide recognition for superior performance. There should be sufficient salary differential between ranks to provide incentive for promotion and to recognize more complex levels of responsibility.

The policy of the agency concerning the use of compensatory time off in lieu of pay, if utilized, should include conditions under which the policy would be applied, rate of accrual, and procedures for application. Overtime policy should be fully described as to what is provided, under what conditions, and the percentage of base hourly rate to be provided. In addition to overtime and merit, salary augmentations may include, among others, hazardous duty and academic incentive pay. In each case, the salary plan should describe the conditions under which different kinds of salary augmentation, if any, would be provided, the amount, and the period of time during which the augmentation would be given. Special skills addressed in the salary program concern those employed as specialists, such as those in a crime laboratory, in communications repair, and the like.

**2.2.4** *When a negotiated labor agreement is ratified by all parties, the agency's CEO, or designee, will:*

- a Obtain a written, signed copy of the labor agreement;*
- b Review and amend, if necessary, all written directives and procedures to coincide with the terms of the labor agreement; and*
- c Disseminate information relative to a new labor agreement, including modifications to existing agreements, to managers and supervisors of bargaining unit employees.*

**Commentary:** In order to avoid violating the labor contract, it is essential that all operating directives are amended to agree with language in the labor agreement. Copies of the signed agreement should be made available to those who supervise and manage employees in the bargaining unit and to further ensure that labor harmony is maintained. Changes in existing contract language should be disseminated to those same supervisors and managers.

**2.2.5** *Unless there is controlling contract language, a written directive establishes a grievance procedure, which includes the following:*

- a Identification of matters that are grievable (scope) and the levels in the agency or government to which the grievance may be filed and/or appealed;*
- b Establishment of time limitations for filing or appealing the grievance to the next level;*
- c A description of the type of information to be submitted when filing a grievance;*

- d Establishment of procedural steps and time limitations at each level in responding to grievances or appeals; and*
- e Establishment of criteria for employee representation.*

**Commentary:** Since a formal grievance procedure is designed to resolve differences between the employee and employer, it follows logically that such procedures be written in clear, concise terms. If grievance procedures are part of a collective bargaining agreement, such agreement would meet the definition of “written directive” as used in this standard. This standard applies to all agency employees. If more than one procedure exists, each should be described. A written statement of the grievance and the facts upon which it is based, a written allegation of the specific wrongful act and harm done, and a written statement of the remedy or adjustment sought are basic information that should be required from a grievant. A form may be designed for this purpose to include spaces for noting significant times, dates, and actions taken relative to a grievance.

Once the grievance has been filed, it should be handled formally. Each level should acknowledge receipt by noting time, date, and person receiving the grievance. The facts or allegations should be carefully analyzed and affirmed or denied in writing. A legitimate attempt should be made at each level to resolve the grievance rather than merely passing it on to the next level. If applicable, remedies or adjustments should be identified in writing. The procedure should have an appeal process for grievable issues. To be an appeal, the issue should go to a higher level or authority for review. Grievances normally follow the employee’s “chain of command” within the agency or governmental structure. The procedure should identify the levels of appeal, the time limits within which each level should respond, and the final level of authority.

**2.2.6** *In the absence of controlling legislation, at least a six-month probationary period is required of all sworn personnel who are promoted, with any exceptions defined.*

**Commentary:** The agency should include a probationary period among the final steps in the process to ensure newly promoted employees can assume the duties and responsibilities of the new positions, an intent consistent with selection procedures for entry-level officers. Employees on probation should be closely observed and evaluated frequently. Unsatisfactory performance should be identified and corrected early through counseling, training, or other suitable personnel actions to safeguard against the promotion of employees beyond their capabilities. Controlling legislation includes union contracts with agencies.

**2.2.7** *Unless there controlling contract language, a written directive requires a performance evaluation of each employee is conducted and documented at least annually.*

**Commentary:** The purposes of performance evaluation are to standardize the nature of the personnel decision-making process, ensure the public that the agency’s personnel are qualified to carry out their assigned duties, and provide job incumbents with necessary behavior modification information to allow them to maintain behaviors that are appropriate from the agency’s



standpoint and to eliminate inappropriate behaviors. If an agency is prohibited by controlling contract language to conduct performance evaluation, the agency should make every effort to have some form of performance evaluation for sworn personnel. *(5% Option Available)*

**2.2.8** *A written directive requires a written performance evaluation report on all entry-level probationary employees at least quarterly.*

**Commentary:** A separate set of criteria is important in the rating of personnel on probation in order to determine, at the earliest point, their suitability for the current position. The principal objective of supervisors rating probationary employees is to ascertain whether they can actually perform the required functions. Performance should be closely monitored, and written evaluations should be a part of this process.

**2.2.9** *If the agency conducts a written performance evaluation, a written directive requires that non-probationary employees be advised in writing whenever their performance is deemed to be unsatisfactory and that the written notification be given to them at least 90 days prior to the end of the annual rating period.*

**Commentary:** The supervisor should be prepared to substantiate ratings at the unsatisfactory level, to advise the employee of unsatisfactory performance, and to define actions that should be taken to improve his or her performance. If unsatisfactory performance continues, this information should be included in the evaluation report at the end of the 90-day period. Some flexibility concerning the 90-day period is allowable if the spirit of the standard is observed.

**Revised 7/2013** *(5% Option Available)*

**2.2.10** *A written directive requires an appeal process for contested evaluation reports and that a copy of the completed evaluation report is provided to the employee.*

**Commentary:** None. *(5% Option Available)*

## **Training**

**2.2.11** *A written directive governs attendance requirements for employees assigned to authorized agency training programs.*

**Commentary:** The directive should describe exceptions and provide procedures for documenting attendance, excusing participants for such events as court appearances, making up time that is missed as the result of excused and unexcused absences and ensuring that employees are recognized for successful completion of the training program.

**2.2.12** *The agency requires lesson plans for all training courses conducted by the agency, to include:*

- a A statement of performance and job-related objectives; the content of the training and specification of the appropriate instructional techniques;*
- b Identification of any tests used in the training process;*
- c A process for approval of lesson plans.*

**Commentary:** The development of lesson plans should ensure that the subject to be covered in training is addressed completely and accurately and is properly sequenced with other training materials. Lesson plans establish the purpose of the instruction, set forth the performance objectives, relate the training to critical job tasks, and identify ethical consideration related to the topic. Consideration should be given to the relevance of training courses to the organization's mission and values. Lesson plans should be required of nonresident instructors as well as resident academy staff. The lesson plans should also include references, teaching techniques (lecture, group discussion, panel, seminars, and debate), relationships to job tasks, responsibilities of the participants for the material taught, and plans for evaluation of the participants. The instructional techniques that should be incorporated are conferences (debate, discussion groups, panels, and seminars); field experiences (field trips, interviews, operational experiences, and operational observations); presentations (lecture, lecture-discussion, lecture-demonstration); problem investigations (committee inquiry); and simulations (case study, games, and role-play).

**2.2.13** *A written directive establishes agency policy concerning remedial training.*

**Commentary:** The directive should include the circumstances and criteria used to determine the need for remedial instruction, the timetables under which remedial training is provided, and the consequences of participation or nonparticipation by the affected personnel. The directive should recognize the uses of remedial instruction in other than recruit training and should comment on the relationship between the inspections and training functions.

**2.2.14** *In addition to training received at a POSTC Basic Training Academy, a written directive governs the training to be received by agency personnel regarding agency policies, procedures, rules, and regulations.*

**Commentary:** In addition to the training and skills taught at a POSTC Basic Training Academy, the agency should provide instructions in policies and procedures that are specific to the agency. The written directive may provide for such training at the outside facility or after the personnel return to the agency following completion of training.

## **Records**

**2.2.15** *If law enforcement services are provided by the agency to another municipality, a written agreement exists governing those services.*

- a A statement of the specific services to be provided;*

- b Specific language dealing with financial agreements between the parties;*
- c Specification of the records to be maintained concerning the performance of services by the provider agency;*
- d Language dealing with the duration, modification, and termination of the contract;*
- e Specific language dealing with legal contingencies;*
- f Stipulation that the provider agency maintains control over its personnel;*
- g Specific arrangements for the use of equipment and facilities; and*
- h A procedure for review and revision, if needed, of the agreement.*

**Commentary:** The elements of contract law enforcement services should be identified in a written agreement. At a minimum, the subjects listed in the bullets of this standard should be addressed. Additional clauses may clarify other identified needs or agreements. (5% *Option Available*)

**2.2.16** *The agency has procedures for safeguarding arrest records from unauthorized disclosure.*

**Commentary:** A detainee's constitutional right to privacy can be violated if records are improperly disseminated. The agency should establish procedures to limit access to detainee records in accord with federal and state statutes.

**2.2.17** *A written directive requires the agency to maintain a record of all complaints against the agency or employees and to protect the confidentiality of these records by maintaining them in a secure area.*

**Commentary:** The confidentiality of internal affairs records is important, and proper security precautions should be taken. This records activity is a task of the internal affairs function and is an exception to the personnel records or centralized records systems.

**2.2.18** *A written directive controls the access of news media representatives, including photographers, to the:*

- a Scenes of major fires, natural disasters, or other catastrophic events; and*
- b Perimeter of crime scenes.*

**Commentary:** News media representatives should not be in a position to interfere with law enforcement operations at the scene of an incident. The guidelines for news media access, including access by photographers, to the scene should be communicated to the media to help ensure their cooperation.

**2.2.19** *Information regarding each item of criminal legal process is recorded, including the following elements:*

- a Date and time received;*

- b Nature of document;*
- c Source of document;*
- d Officer assigned for service;*
- e Date of assignment;*
- f If required, court docket number; and*
- g For subpoenas, date service due.*

**Commentary:** Record entries may be cross-referenced so that the information can be retrieved by means of the court's docket number and by the names of any of the parties to the action. In most instances, a unique number should be assigned to permit cross-reference of the return with the entry.

**2.2.20** *A record of the execution or attempted service of legal process documents is maintained and includes;*

- a Date and time service was executed/attempted;*
- b Name of officer(s) executing/attempting service;*
- c Name of person on whom legal process was served/executed;*
- d Method of service/reason for non-service; and*
- e Address of service/attempt.*

**Commentary:** None. Revised 7/2013

**2.2.21** *All property acquired through asset forfeiture proceedings is accounted for in agency records and is disposed of by the agency pursuant to legal authority.*

**Commentary:** None.

**2.2.22** *A written directive established procedures for collecting and submitting crime data to a national uniform crime reporting program or national incident-based reporting system.*

**Commentary:** Participation in a national UCR or NIBRS program helps promote the development of good record keeping and aids in the effort to establish a national data base of crime statistics. The standard should be satisfied if the agency reports data to a state or provincial system for subsequent inclusion in the national system.

**2.2.23** *A written directive requires the documentation of every incident in one or more of the following categories if the incident is alleged to have occurred in the agency's service area:*

- a Citizen reports of crimes;*
- b Citizen complaints;*
- c Incidents resulting in an employee being dispatched or assigned;*
- d Criminal and non-criminal cases initiated by law enforcement employees; and*
- e Incidents involving arrests, citations, or summonses.*

**Commentary:** The purpose of this standard is to require a comprehensive reporting system. A record should be made of actions taken by law enforcement personnel whether in response to a request for service or for self-initiated actions. If two or more persons report the same incident, only one case report should be required. The directive should establish procedures to ensure that proper action is taken to investigate complaints, evaluate suggestions, and correct deficiencies or refer them to proper authorities for correction. The person making the complaint or suggestion should be notified of the action taken. This may be contained in the agency's general field reporting document.

**2.2.24** *A written directive establishes procedures for maintaining records of traffic citations, to include:*

- a Issuing citation forms to officers;*
- b Accounting for citations; and*
- c Storing citations in a secure area.*

**Commentary:** Issuing and accounting for traffic citations should be rigidly controlled. Copies of citations issued by officers should be filed in agency records. The directive should govern how the records are processed, maintained, and distributed. Procedures for the release of records should also be provided. The records file should contain the locations of all traffic collisions and citations to provide a ready reference for a collision/enforcement data related to specific intersections or segments of highways. Ancillary information, such as traffic safety reports, traffic volume data, and traffic distribution reports, may also be kept in the records system.

## **General Management**

**2.2.25** *The Chief Executive Officer through, a written statement issued by a unit of government, a law or ordinance, or combination thereof is designated as the authority, responsible for the fiscal management of the agency.*

**Commentary:** Although fiscal management functions may be delegated to a designated function or component, the agency's chief executive officer should have the ultimate authority and accountability over all fiscal matters of the agency.

**2.2.26** *A written directive governs procedures for the requisition and purchase of agency equipment and supplies to include, at a minimum:*

- a Specifications for items requiring standardized purchases;*
- b Bidding procedures;*
- c Criteria for the selection of vendors and bidders;*
- d Procedures for the emergency purchasing or rental agreements for equipment; and*
- e Procedures for requesting supplemental or emergency appropriation and fund transfer.*

**Commentary:** The intent of the standard is to establish formal procedures for controlling the requisitioning and purchasing of agency supplies and equipment. The standard may be satisfied through evidence of the use of a purchasing procedure in general use by the government, provided the conditions included in the standard are met.

**2.2.27** *A written directive governs procedures for an independent audit conducted by the municipality which includes the agency's fiscal activities.*

**Commentary:** As a basis for determining the financial integrity of the agency's fiscal control procedures, the audit should be conducted at least annually or at a time stipulated by applicable statute or regulation.

**2.2.28** *If the inventory and control of agency property is regulated by an outside authority, the agency must meet those guidelines. Absent external controlling directives, the agency has a written directive, which establishes internal procedures for inventory and control of agency property and equipment.*

**Commentary:** This function may be guided by directives or statutes promulgated outside of the agency. If these guidelines do not exist, the agency should adopt procedures that ensure adequate property control.

**2.2.29** *If there are represented employees in the agency, a written directive describes the role of the agency in the collective bargaining process.*

**Commentary:** The relationship of agency personnel with other members of the bargaining team should be clearly defined. The directive should clearly establish the agency's role when its members comprise the entire bargaining team as well as when they will be working with individuals from outside the agency.

**2.2.30** *A written directive specifies appeal procedures in disciplinary actions, procedures for maintenance of records of disciplinary actions and if employee misconduct results in dismissal, the following information is provided to the employee:*

- a A written statement citing the reason for dismissal;*
- b The effective date of the dismissal; and*
- c A statement of the status of fringe and retirement benefits after dismissal.*

**Commentary:** The directive should include initiation procedures, time frames, method of recording, and scope of the appeal process. To be an appeal, the issue should go to a higher level of authority for review. This standard, under normal circumstances, does not apply to entry-level probationary employees. The directive should require written records of disciplinary actions and should include where the records should be filed, how long they should be maintained, and under what circumstances they should be purged.

**2.2.31** *The agency has ethnic and gender composition in the sworn law enforcement ranks in approximate proportion to the makeup of the available work force in the law enforcement agency's service community, or a recruitment plan. The available work force is defined as those individuals who meet the minimum requirements established by POSTC (Police Officer Standards and Training Council) and those minimum requirements established by the agency's recruitment plan.*

**Commentary:** Recruitment steps should be directed towards the goal of approximating within the sworn ranks the demographic composition of the community that it serves. Statistics on the composition of the work force in the agency's service community are available from a variety of sources, including the U.S. Department of Labor's Bureau of Labor Statistics. For the purposes of this standard, the agency may also expand its recruitment effort beyond the immediate service community.

**2.2.32** *A written directive defines the agency's role in the promotion process for sworn personnel.*

**Commentary:** The law enforcement agency may rely upon a state or local civil service commission or other public or private external organization to administer or provide one or more elements of the process in accordance with legal, professional, and administrative requirements. Where a centralized personnel agency exists, the directive should govern the responsibilities retained by the law enforcement agency's chief executive officer for the promotion of personnel. The agency should have a role in the development of the measurement instruments that are used in determining the skills, knowledge, and abilities of employees for positions. It is the promotional process as defined by the agency.

**2.2.33** *The agency has written procedures for conducting surveillance, undercover, decoy, and raid operations.*

**Commentary:** The intent of the standard is to have contingency procedures for all types of operations. The procedures can be contained in a single directive or manual or in a series of directives and can be as simple as a checklist or more detailed depending upon the extent of the plans. Those agencies conducting operations as delineated in this standard should at a minimum take into considerations provisions for familiarizing officers with objective and details of the operation, the neighborhood, or target area; determining operational procedures for observation, arrests surveillance, (documentation and/or video/audio recording, high risk entries; supplying officers with expense funds; establishing means of routine and emergency communication; providing relief, backup, security, and perimeter protection for officers; supplying officers with false identity, disguises, and necessary credentials; obtaining authorization for the raid and use of force; designating a single person as a supervisor and coordinator; making contacts with suspects; searching for and seizing evidence and/or contraband; obtaining coordination and assistance from others both inside and outside of the agency; and agency report requirements.

**2.2.34** *A written directive establishes the agency's juvenile operations function, and includes, at a minimum, the following:*

- a A statement that the agency is committed to the development and perpetuation of programs designed to prevent and control juvenile delinquency; and*
- b A statement that the responsibility for participating in or supporting the agency's juvenile operations functions is shared by all agency components and personnel.*

**Commentary:** The intent of this standard is to establish agency accountability for the juvenile function in writing. The function should be developed and operated to effectively meet agency needs. Proving compliance with this standard may be accomplished through a series of documents or a single, all-inclusive directive. This list of activities should not be viewed as all inclusive; rather it is intended that the activities mentioned form a core around which other requirements or policies may be added as needs dictate. **Revised 7/2013**

**2.2.35** *When employees are notified that they have become the subject of an internal affairs investigation, the agency issues the employee a written statement of the allegations and the employee's rights and responsibilities relative to the investigation.*

**Commentary:** None.

**2.2.36** *A written directive specifies the conditions, if any, during an internal affairs investigation, when:*

- a Medical or laboratory examinations are administered;*
- b Photographs are taken of employees;*
- c An employee may be directed to participate in a line-up; and*
- d An employee may be required to submit financial disclosure statements.*

**Commentary:** The written directive should be based on the legal requirements in the jurisdiction, case law, and precedent and should be consistent with other administrative decisions. An employee may be required to submit to a medical or laboratory examination, at the agency's expense, when the examination is specifically directed and narrowly related to a particular internal affairs investigation being conducted by the agency. An example is the use of this process in determining drug use by employees. An employee may also be required to be photographed, to participate in a line-up and/or submit to a financial disclosure statement when the actions are material to a particular internal affairs investigation being conducted by the agency.



## Chapter 3: Operations

### Patrol

**2.3.1** *The agency has a written plan for handling a hostage barricaded person situation, to include, at a minimum, provisions for the following:*

- a Attempts to avoid confrontation in favor of controlling and containing the situation until the arrival of trained tactical and/or hostage negotiation personnel;*
- b Notification of tactical and hostage negotiation personnel, if these functions are utilized by the agency;*
- c Interaction between tactical and hostage negotiation personnel and responsibilities of each;*
- d Notification of appropriate persons within and outside the agency, such as command officers, dog handlers;*
- e Communications with other agencies;*
- f Establishment of inner and outer perimeters;*
- g Evacuation of bystanders;*
- h Evacuation of injured persons;*
- i Establishment of central command POST and appropriate chain of command;*
- j Request for ambulance, rescue, fire and surveillance equipment;*
- k Authorization for news media access and news media policy;*
- l Authorization for use of force and chemical agents;*
- m Use of support staff;*
- n Pursuit/surveillance vehicles and control of travel routes; and*
- o After-action report.*

**Commentary:** Guidelines for hostage/barricaded person situations should be developed and tested prior to their use. Once in effect, they should be subject to annual review and, if necessary, modification.

**2.3.2** *The agency has a written plan for handling a bomb threat or bomb emergency and for gaining access to a bomb disposal unit.*

**Commentary:** The bomb threat or bomb emergency plan should include, at a minimum, the role of personnel in ascertaining details from the bomb threat caller; notification of appropriate command personnel; formation of a security perimeter; communication procedures; organization of search teams; search procedures; equipment required by search teams; and news media access. The plan should include notification procedures for bomb disposal personnel. An evacuation policy should be established for schools and other buildings. The plan should also provide for coordination with fire/rescue personnel and with investigators or evidence specialists responsible for apprehending suspects and/or gathering physical evidence. The plan should be reviewed annually.

**2.3.3** *The agency has a written plan for handling special events, to include, at a minimum, provisions for the following:*

- a Designation of a single person or position as supervisor and coordinator for the coverage of a given event;*
- b Written estimate of traffic, crowd control, and crime problems expected for any given event;*
- c Contingency plan for traffic direction and control;*
- d Use of special operations personnel, if any;*
- e Logistical requirements;*
- f Coordination inside and outside the agency; and*
- g after-action report.*

**Commentary:** The intent of the standard is to encourage the development of an overall plan setting out requirements, in turn, for specific planning and operation for each individual event. Special events may include parades, entertainment/sporting events, highway construction/maintenance activities, picketing/demonstrations, etc. The plan should address the following problems and special circumstances: ingress and egress of vehicles and pedestrians, parking space, spectator control, public transportation, relief of officers assigned, news media, alternate traffic routes, temporary traffic controls and parking prohibitions, and emergency vehicle access.

**2.3.4** *The agency provides appropriate assistance to victims/witnesses whom have been threatened or who, in the judgment of the agency, express specific, credible reasons for fearing intimidation or further victimization.*

**Commentary:** What constitutes “appropriate assistance” is a judgment call by the agency is determined by the nature of the instant case and by the resources available to the agency, and, if possible, is commensurate with the danger faced by the victim/witness. **“Appropriate assistance”** may range from placing a victim in protective custody, such as might be offered by the agency itself or the appropriate prosecutor’s office, to offering frightened witness words of encouragement. When physical protection is a consideration, the agency is not obligated by this standard to provide it when the victim/witness is not physically present within the agency’s jurisdiction. If the agency becomes aware of danger to a victim/witness, the agency should promptly attempt to contact and alert the victim/witness; when the victim/witness is in another jurisdiction, the agency should also contact the appropriate agency and inform it of the situation and request that reasonable precautions be taken.

**2.3.5** *A written directive establishes procedures for handling traffic law violations committed by:*

- a Out of state residents;*
- b Juveniles; and*
- c Foreign diplomats/consular officials.*

**Commentary:** The written directive should address all special processing requirements, e.g., diplomatic or legislative immunity, or procedures that apply to traffic law violations committed by the classes of persons enumerated above and any others that require special processing by virtue of local mandate.

**2.3.6** *At the time a motorist is charged with a violation, the agency provides information relative to the specific charge, to include:*

- a Court appearance schedule;*
- b Optional or mandatory nature of court appearance by the motorist;*
- c Notice of whether the motorist is allowed to enter a plea and/or pay the fine by mail; and*
- d Other information that must be provided to the motorist prior to release.*

**Commentary:** It is essential that officers fully explain the rights and requirements imposed on motorists upon arrest or issuance of a citation for a traffic violation. An informational pamphlet explaining the motorist's rights and responsibilities issued with the citation can augment the information provided verbally by the officer.

**2.3.7** *A written directive establishes uniform enforcement policies for traffic law violations, to include:*

- a Operation of a vehicle after driving privileges have been suspended or revoked;*
- b Speed violations;*
- c Other hazardous violations;*
- d Off-road vehicle violations;*
- e Equipment violations;*
- f Public carrier/commercial vehicle violations;*
- g Other nonhazardous violations;*
- h Newly enacted laws and/or regulations;*
- i Violations resulting in traffic collisions; ~~and~~*
- j Pedestrian and bicycle violations; and*
- k Use of roadside safety checks.*

**Commentary:** The intent of this directive is to provide guidelines for uniform traffic law enforcement actions. Uniform enforcement supports the ultimate aim of traffic law enforcement, that is, to achieve voluntary compliance with traffic laws and regulations. The policy cannot and should not supplant officer judgment, for it is impossible to foresee every conceivable situation involving traffic violations. In unusual circumstances, the officer should decide what enforcement, if any, is appropriate on the basis of a combination of training, experience, and common sense.

**2.3.8** *A written directive governs the use of speed measuring devices in traffic law enforcement, to include:*

- a Equipment specifications;*
- b Operational procedures;*
- c Proper care and upkeep;*
- d Programmed maintenance;*
- e Maintenance and calibration records; and*
- f Operator training and certification.*

**Commentary:** The directive should include guidelines to ensure that traffic safety and energy conservation goals and objectives are met. The agency should ensure that officers utilizing speed-measuring devices (radar, VASCAR, speedometer, stopwatch, etc.) are fully trained before they are authorized to use such devices for traffic law enforcement. Operators may be required to demonstrate their competence with each device under varying conditions in supervised field performance tests. The training and equipment standards should be equivalent to the model standards promulgated by the National Highway Traffic Safety Administration.

**2.3.9** *A written directive establishes the agency's alcohol enforcement countermeasure program and procedures for handling persons charged with driving while under the influence of alcohol or drugs.*

**Commentary:** The primary objective of the program should be to reduce alcohol and/or drug-related traffic offenses by fielding units that are specially trained and equipped to apprehend and process alcohol or drug-impaired drivers. Special emphasis should be placed on enforcement of laws related to driving while intoxicated and other statutes restricting drinking and driving. Training should be provided to develop officer skills in detecting those persons who are under the influence of alcohol or drugs. The agency should consider using the following countermeasures in various combinations in their selective alcohol enforcement program: selective assignment of personnel at the time when, and to the locations where, analyses have shown that a significant number of violations and/or collisions involving impaired drivers have occurred; selective surveillance of roadways on which there has been an unusual incidence of drinking-driving collisions to ascertain the characteristic violation profile of the problem drinker who drives; selected alcohol-related collision investigations and analyses of findings; selected roadway checks for deterrence purposes; and selective enforcement of drinking-driving laws through concentration on existing laws and the expeditious processing of violators.

The arrest of a person for driving while intoxicated differs significantly from the handling of other traffic law violations. In most jurisdictions, for instance, implied consent statutes and legislation that defines intoxication in terms of blood alcohol levels have been enacted. These statutes include many provisions affecting an officer's authority. Therefore, detailed guidance should be provided to officers based on the pertinent legal requirements of the jurisdiction. Procedures should address the methods to be employed for proper administration of preliminary and evidentiary breath tests, safe transportation of impaired arrestees, procurement of blood and urine testing where governing statutes give the arrestee a choice of these tests in addition or as an

alternative to a breath test, incarceration or release to a responsible third party, and disposition of the arrestee's vehicle.

**2.3.10** *A written directive governs the provision of assistance to highway users, to include:*

- a General assistance;*
- b Mechanical assistance and towing service;*
- c Protection to stranded persons; and*
- d Emergency assistance.*

**Commentary:** The directive should set forth policies that describe the role of the agency in providing information and directions, assisting stranded or disabled motorists, providing or obtaining fuel, changing tires, making minor repairs, etc. The highway user encountering mechanical or other difficulties necessitating assistance or towing generally must rely upon the officer to obtain needed services. The directives should establish procedures for obtaining services or other assistance in an equitable manner that satisfies the needs of the public, the law enforcement agency, and the providers of such services.

The agency has a responsibility to provide a communications link to obtain needed services for motorists and to provide protection for highway users stranded or disabled in hazardous locations or environments. The written directive should provide basic guidelines to ensure that help arrives in a timely fashion and those motorists are directed or actually transported to a place of safety. The directive should describe the role of officers in providing first aid, obtaining medical assistance, fighting fires, obtaining fire service assistance, and transporting civilians. Agency personnel should have clear guidelines to ensure that fire suppression and emergency medical transport services are provided in a timely manner.

**2.3.11** *A written directive specifies procedures for the following:*

- a Handling of abandoned vehicles;*
- b Removal and towing of vehicles from public and private property; and*
- c Maintaining records of all vehicles removed, stored, or towed at the direction of an officer.*

**Commentary:** The directive should define the circumstances under which vehicles are considered abandoned and when and how they are to be removed. Procedures are needed for removal or towing of vehicles that are illegally stopped, standing, or parked; stolen or abandoned; and/or in the agency's custody. In addition, the directive should establish procedures to notify the registered owner of the removal or tow and to afford the owner the opportunity for a hearing to determine the legality of such removal or tow. Whenever a vehicle is removed or towed at the direction of an officer, a written record should be made of the time, date, location, requesting officer, reason for removal or tow, charges pending, towing service, location of the vehicle, and notification or attempted notification of the registered owner. Refer to CGS 14-150(a), and DMV form 100.

**2.3.12** *If the agency has computerized mobile data access capabilities or other similar technology, a written directive establishes procedures for its use.*

**Commentary:** The intent of the standard is to cause agencies to develop procedures for the system's access, use, and security. Procedures should consider the system's sophistication. Issues of system access, password security, and administrative security inspections will be determined by the individual system and database access capabilities of that system.

### **Prisoner/Holding Facility**

**2.3.13** *A written directive requires that transporting officers be seated in specific locations within the vehicle, depending upon the number of prisoners to be transported and the number of escort officers used.*

**Commentary:** For safety reasons, the prisoner should be under observation at all times. Opportunities for escape or attack on transporting officers, for example, should be reduced as much as possible. The prisoner should be made as comfortable as possible, given the length of the trip being made, and yet secured appropriately and when necessary with fastened seat belt.

**2.3.14** *Merged with 1.1.13 (reserved for future use))*

**2.3.15** *A written directive prescribes circumstances under which the prisoner may communicate with others while being transported.*

**Commentary:** Safety aspects of the transport function require that the prisoner's right to communicate with attorneys and others will not normally be exercised during the period that the prisoner is being transported.

**2.3.16** *Vehicles used primarily for transporting prisoners must have the driver separated from the prisoner by a safety barrier.*

**Commentary:** The safety barrier prevents the prisoner from having access to the driver's compartment of the vehicle. Communication between the front and rear compartments should not be impaired to the point that precludes conversation. Installation of such a barrier should be done in a manner that promotes the safety of occupants in the front and rear compartments.

**Compliance may be OBSERVED.**

**2.3.17** *If prisoners are routinely transported alone in the rear of agency vehicles, the rear compartments are modified to minimize opportunities for exit without the aid of the transporting officer.*

**Commentary:** Cages, safety barriers, or removal of window cranks and door handles from the rear compartment will satisfy compliance with the requirements of this standard. Written policy

generally prohibiting rear compartment transport by a single officer will also satisfy compliance here. **Compliance may be OBSERVED.**

**2.3.18** *A written directive governs access of nonessential persons to the holding facility.*

**Commentary:** If nonessential persons are granted access to holding facilities, their presence should not violate a detainee's privacy, impede facility operations, or obstruct or frustrate acquisition and development of information for presentation in court by either the prosecution or the defense. Access of all nonessential persons should be prohibited in emergency situations.

**2.3.19** *A written directive governs conditions under which an officer enters an occupied cell.*

**Commentary:** To ensure that detainees held in cells do not have an opportunity to take keys from an officer and escape, it is preferable that officers not enter a cell alone, unless they are being monitored by visual or audio surveillance devices and/or have a distress alarm in their possession.

**2.3.20** *A written directive governs control and use of keys.*

**Commentary:** The key control system should provide an accurate accounting of the location and possessor of each key. Duplicate emergency keys or a master key should be readily available in emergency situations.

**2.3.21** *A written directive specifies which holding facility doors are to be secured and when.*

**Commentary:** It is essential that staff members know which doors should be locked, when, and under what circumstances they should be opened. Doors to vacant units, unoccupied cells, and storage rooms should be locked when not in use. Doors should be tested for vulnerability after they are secured.

**2.3.22** *A written directive requires a documented report of all incidents that threaten the facility or any person therein.*

**Commentary:** None.

**2.3.23** *A written directive requires identification be made before arrestee is released.*

**Commentary:** None.

**2.3.24** *A written directive specifies procedures for supervision of detainees of a sex opposite that of the supervising staff member.*

**Commentary:** It is extremely difficult for staff to supervise detainees of the opposite sex; agency staff should be carefully advised of procedures to be followed and, if possible, have all contact monitored by another employee in these instances.

## **Evidence/Property**

**2.3.25** *A written directive requires that materials and substances be collected from a known source, whenever available, for submission to the laboratory for comparison with physical evidence collected.*

**Commentary:** A significant degree of the value of laboratory examinations concerns the identification of substances and comparison of these with materials from known sources. This is true especially in the case of the study of hairs, fibers, fabrics, paint, glass, wood, soil, and tool marks. The location from which samples from a known source are taken is critical where fractures have occurred, such as in the case of glass, wood, paint, and metal.

**2.3.26** *A written directive establishes guidelines and procedures used for collecting, processing, and preserving physical evidence in the field.*

**Commentary:** The agency should develop general guidelines for its approach to crime scene processing. For example, the first rule may be to secure and protect the crime scene. Agency policy should dictate whether processing is to be conducted by field personnel or specialists. Processing procedures should determine the progression of tasks, such as photograph, sketch, fingerprint, mark, and collect. The directive should also provide guidelines for the preferred methods of collecting, marking/labeling, and packaging/storing a variety of evidentiary items. Methods used are those that should preserve the condition of evidence in the process of collection, prevent the introduction of foreign materials to it, and ensure as complete a sample as possible and practical. For physical evidence to be accepted by the court at time of trial, it is essential that the chain of evidence be maintained. The initial step in this process is marking or labeling the item at the time it is collected, seized, or received. Items should personnel are available on 24-hour basis to process a crime scene/traffic collision be marked so as not to damage or contaminate the evidence. Items that cannot be marked should be placed in an appropriate container, sealed, and the container labeled.

Vehicles used for processing crime scenes should have equipment to recover fingerprints, take photographs, sketch the crime scene, and collect and preserve evidence. For all items of evidence gathered at a crime scene, the investigator and/or processor should prepare a list containing a description of the item collected (including make, model, and serial number, if any), the source (person or location obtained from), and the name of the person collecting the item. Other information may also be pertinent to the list. The inventory is essential to the investigator and the processor for recording activities at the scene and qualifying the evidence at the time of trial.



**2.3.27** *A written directive governs procedures used for photography and video taping pursuant to the collection and preservation of evidence and specifies the information to be recorded at the time this type of evidence is taken.*

**Commentary:** Photographs and/or videotapes are critically important as evidence. Preferably, they should be taken by a trained photographer. The directive should specify what information is to be recorded when photographs and videotapes are taken, as well as how they are to be stored, in order to be qualified in the future as competent evidence. The procedure should be consistent with applicable statutes and case law.

**2.3.28** *A written directive governs the procedures for processing, developing, lifting, and labeling all fingerprints pursuant to the collection and preservation of evidence.*

**Commentary:** The directive should address the handling of fingerprints taken from known individuals, as well as the processing of latent fingerprints. Procedures for the proper handling, identification, labeling, and storage of known and latent prints should be described. The methods should be consistent with statutory and case law.

**2.3.29** *A written directive establishes procedures for the seizure of computer equipment.*

**Commentary:** Computer equipment can be severely damaged or data lost due to improper shutdown procedures. Methods of seizure should be established for equipment in operation at the time of seizure, non-operating equipment, disks (all types) and drives, and peripheral equipment. Equipment should be examined prior to start-up by a person skilled in computer operation. The computer could be pre-programmed to erase or destroy data, if start-up or shutdown procedures are not followed.

**2.3.30** *A written directive establishes procedures for submitting evidence to a forensic laboratory, which include:*

- a Identification of the person responsible for submitting the evidence;*
- b Methods for packaging and transmitting evidence to the laboratory;*
- c Types of documentation to accompany evidence when transmitted;*
- d Receipts to ensure maintenance of chain of evidence; and*
- e Stipulation that laboratory results be submitted in writing.*

**Commentary:** The written directive should specify procedures for submission of perishable evidence to the forensic laboratory, such as fresh blood, blood-stained objects, other physiological stains and tissue, and biological materials. Large and bulky items, firearms, drugs, and other items should be prepared in a uniform manner that is consistent with the requirements of the Connecticut forensic laboratory or other receiving laboratory. The responsibility for requesting laboratory examinations and preparing and transmitting the evidence to the laboratory should be defined. Guidelines for the types and preparation of transmittal documents should be described. Chain of custody should be carefully maintained.

Verbal reports from the laboratory may be accepted, but the agency should insist these be followed up by a written report. When the laboratory is part of the agency, the directive should specify that written reports of findings are provided. When a laboratory is not part of the agency, a transmittal letter or written request as a part of the evidence transmittal form should be used to request a written report of laboratory findings.

**2.3.31** *Secure facilities are provided for the storage of in-custody or evidentiary property during periods when the property room is closed.*

**Commentary:** Provisions should be made for securing items of property when the property room is closed. Several methods can be followed to achieve this objective, such as installation and use of one-way drop-boxes, lockers, and specially designed containers. **Compliance may be OBSERVED.**

## **Communications**

**2.3.32** *A written directive requires that the agency's radio operations be conducted in accordance with Federal Communications Commission (FCC) procedures and requirements.*

**Commentary:** None.

**2.3.33** *If local, state, and federal criminal justice information systems exist, the agency participates and/or has access to such a system.*

**Commentary:** The effectiveness of investigative efforts depends heavily upon the quality of information resources. Agencies should have the equipment they need to gain access to information from nearby agencies, regional law enforcement information networks, statewide information resources, and the National Crime Information Center. Agencies outside the United States should access like systems, if available. If not available, this standard does not apply. **Compliance may be OBSERVED.**

**2.3.34** *If the agency is required to access an interjurisdictional, regional, or area law enforcement radio system, the communications function has, at a minimum, the necessary equipment to access that system.*

**Commentary:** Access to the system may be direct, through another agency, or by means of a relay system. The agency will comply if its communications center, at a minimum, has the capability of receiving and transmitting on behalf of the entire agency. **Compliance may be OBSERVED.**

**2.3.35** *A written directive establishes procedures for monitoring and responding to private security alarms.*

**Commentary:** The agency should have a formal policy concerning monitoring commercial and private residential alarm systems. The agency should seek regulating legislation for the installation and maintenance of the various alarm systems. Such legislation should specify sanctions for excessive false alarms. Care should be exercised in considering private home alarms that ring into department telephone lines. The agency's policy should also consider the availability of commercial alarm companies to service business alarms.

**2.3.36** *Security measures for the communications center are in place to:*

- a Limit access to the communications center to authorized personnel;*
- b Protect equipment;*
- c Provide for back-up resources; and*
- d Provide security for transmission lines, antennas and power sources.*

**Commentary:** The capability to maintain communications in all emergency situations dictates that security measures be implemented to protect communications personnel, facilities, and equipment. Protective measures may include locating the center and equipment in areas providing maximum security, installing bullet-resistant glass in areas of public access, and restricting access to the communications center. Providing security for equipment may be done with a combination of security cameras, fences, or other measures based on the needs of the agency. **Compliance may be OBSERVED.**

# **TIER III**

## **INTRODUCTION**

This manual, the **POSTC State Accreditation Standards Manual**, serves as the final stage of a tiered system. The standards addressed at Tier III are called “**General Management**” and are all mandatory standards unless otherwise indicated, 5% option.

The standards are broken down into the three chapters listed below:

**Chapter 1 Legal Requirements**

**Chapter 2 Management**

**Chapter 3 Operations**

The POST Council has approved a five percent option, where a department may chose not to comply with eight (8) of eighteen (18) identified standards in Tier III. The standard which are eligible for this option (5% Option) are identified at the end of the commentary section of the standard. A list of these standards can be found in Appendix E

## Chapter 1: Legal Requirements

### General Legal Requirements

**3.1.1** *Moved to 1.1.15 (reserved for future use)*

**3.1.2** *A written directive delineates the specific geographical boundaries of the agency's jurisdiction.*

**Commentary:** It is fundamental that the agency clearly describe the geographic boundaries of its jurisdiction. Situations involving overlapping or ambiguous territorial jurisdiction should be avoided. A detailed official map, including the boundaries of the jurisdiction, may satisfy the requirements of this standard.

**3.1.3** *A written directive specifies the agency's responsibilities in any interagency agreement regarding concurrent jurisdiction.*

**Commentary:** The intent of this standard is to encourage an agency to identify its responsibilities, with regard to concurrent jurisdiction, which are established in a matter of law or on the basis of interagency agreement. This standard does not require an interagency agreement where none exists. The written directive should clearly outline the source of the concurrent jurisdiction, i.e., cites, the specific legal basis or relevant interagency agreement, and should outline such details as identification of which agency responds to a call for service type, communications linkages between agencies to ensure prompt and appropriate response.

## Chapter 2: Management

### Personnel

**3.2.1** *A written directive stipulates that employment rights of personnel assigned under a contract for law enforcement services are not abridged by the provider agency.*

**Commentary:** Participation in a contracted law enforcement service arrangement should not penalize participating employees nor should it in any way threaten their employment rights, promotional opportunities, training opportunities, or fringe benefits.

**3.2.2** *The agency allocates personnel to, and distributes them within, all organizational components in accordance with documented periodic workload assessments.*

**Commentary:** The intent of the standard is to encourage the equalization of individual workloads among and within organizational components. The analysis should specify all incidents and factors used in making each workload assessment and indicate any time and location factors necessary to complete a task. Basing the allocation of personnel on workload demands can have a significant influence on the efficiency and effectiveness of the agency. The agency should attempt to prevent over or understaffing by ensuring that the personnel strength of an organizational component is consistent with the workload. The nature or number of tasks and their complexity, location, and time required for completion are some of the factors, influencing workload demands. The process of allocating personnel to each organizational component also permits the agency to determine the overall number of personnel required to meet its needs and fulfill objectives. *(5% Option Available)*

**3.2.3** *Positions not requiring sworn personnel, as designated by the agency, are specified as civilian positions and staffed accordingly.*

**Commentary:** An analysis of all positions is to be conducted on an annual basis. The intent of this standard is for the agency to review its positions to better utilize and distribute its personnel.

**3.2.4** *A written task analysis of every class of sworn employee in the agency is reviewed every three years and updated as necessary.*

**Commentary:** A task analysis is basic to proper human resources management. Analysis should be required for all sworn classes in the agency. Hiring, promotion, training, and job performance evaluation criteria should be established by task analysis. *(5% Option Available)*

**3.2.5** *If the agency has a classification plan, a written directive specifies the role of the agency in the development and maintenance of class specifications to include:*

- a Categorization of every job by class on the basis of similarities in duties;*
- b Responsibilities, and qualification requirements;*
- c Class specifications for every job within a class;*
- d Provisions for relating compensation to classes; and*
- e Provisions for reclassification.*

**Commentary:** Classification involves describing the different kinds of work performed in an agency and consolidating similar jobs into classes based upon similarity of duties and responsibilities. Since classes in a law enforcement agency are usually linked to rank, the classification plan should specify the class titles and general duties, responsibilities, and qualification for each traditional rank in the agency.

**3.2.6** *A written directive describes the agency's health insurance program.*

**Commentary:** None.

**3.2.7** *If the agency provides physical examinations for employees. Any examination required of employees in permanent, full-time jobs must be provided at no cost to the employee.*

**Commentary:** A physical examination is a benefit to both the employee and the agency. Any physical examination should be conducted only to confirm the employee's continued fitness to perform the tasks of their assignments and to inform them of their general physical condition, not to identify employees with disabilities who are otherwise able to perform their assigned duties, with or without reasonable accommodation. The nature of some specific positions or responsibilities may necessitate periodic specific health screenings, such as those for crime scene personnel, firearms instructors, or range technicians who are repeatedly exposed to hazardous chemicals or lead contaminates.

**3.2.8** *The agency has a written policy regarding sworn personnel's general health and/or physical fitness, to perform job tasks and functions identified in accordance with agency job descriptions or job tasks analysis.*

**Commentary:** The functions of a law enforcement agency require a level of physical fitness not demanded by many other occupations. Personal health and physical fitness levels should be those that have been shown to be directly related to the tasks performed, and not serve to eliminate or penalize employees, who can otherwise perform the tasks of their assignment, with or without reasonable accommodation. A wellness program, which is part of a health care benefits plan, can be used to demonstrate compliance to the general health portion of this standard. **Revised 7/2013 (5% Option Available)**

## **Training**

**3.2.9** *If an agency has a training committee a written directive includes provisions for the following:*

- a Composition of the committee;*
- b The process for selecting and replacing committee members;*
- c The relationship of the training function to the committee;*
- d Authority and responsibilities of the committee; and*
- e Designation of the person or position to whom the committee reports.*

**Commentary:** The training committee should assist in developing and evaluating training needs and serve as a focal point for input from those representing agency components. The role of the committee should be clearly established to promote effective committee operation and to prevent misunderstandings.

**3.2.10** *A written directive governs agency reimbursements to employees attending authorized training programs in or outside the agency's service area.*

**Commentary:** The directive should describe the conditions under which reimbursement may be provided for mileage, meals, housing, fees, books, or materials for training programs conducted in or outside the agency's service area.

**3.2.11** *Personnel assigned or used in the training function as full or part-time instructors shall receive training, which includes, at a minimum:*

- a Lesson plan development;*
- b Performance objective development;*
- c Instructional techniques;*
- d Testing and evaluation techniques; and*
- e Resource availability and use.*

**Commentary:** The agency should require that all full-time instructors be given training prior to assuming their teaching responsibilities. This training should be periodically updated and geared to meet any specific instructional problems of the agency. **Instructors presenting training for recertification credit hours must be certified by POST. Revised 7/2013**

**3.2.12** *A written directive identifies the functions for which specialized training is required, and includes the following:*

- a Development and/or enhancement of the skills, knowledge, and abilities particular to the specialization;*



- b Management, administration, supervision, personnel policies, and support services of the function or component; and*
- c Supervised on-the-job training.*

**Commentary:** The agency should identify all of the functions for which both pre and post assignment specialized training are required. In addition, all persons responsible for crime scene processing should receive specialized in-service training to develop the following skills: recovering latent fingerprints and palm prints; recovering foot, tool, and tire impressions; photographing crime or accident scenes; preparing crime or accident scene sketches; and collecting, preserving, and transmitting physical evidence, including biological materials. These topics should also be provided as refresher training for investigative personnel as a component of the in-service training program. *(5% Option Available)*

**3.2.13** *A written directive requires all newly appointed civilian personnel to receive information regarding:*

- a The agency's role, purpose, goals, policies, and procedures;*
- b Working conditions and regulations; and*
- c Responsibilities and rights of employees.*

**Commentary:** None.

**3.2.14** *A written directive identifies the civilian positions for which pre-service and in-service training is required.*

**Commentary:** The agency personnel should receive initial and on-going training commensurate with their responsibilities. Such training should stress not only the skills necessary to perform technical aspects of their jobs but also the importance of the link they provide between citizen and agency, which often shapes a citizen's opinion of the agency. *(5% Option Available)*

**3.2.15** *If an agency has personnel that conduct career development activities then a written directive establishes training requirements for those personnel.*

**Commentary:** Personnel, such as supervisors and counselors, who are assigned to conduct career development activities should undergo a period of orientation that should provide increased knowledge and skills in at least the following areas: general counseling techniques; techniques for assessing skills, knowledge, and abilities; salary, benefits, and training opportunities of the agency; educational opportunities and incentive programs; awareness of the cultural background of ethnic groups in the program; record-keeping techniques; career development programs of other jurisdictions; and availability of outside resources.

## Records

**3.2.16** *A written directive specifies an agency administrative reporting program, to include:*

- a A listing of all administrative reports;*
- b A statement as to the person(s) or position(s) responsible for the formulation of the reports(s);*
- c A statement of the purpose of the report(s);*
- d A statement of the frequency of the report(s); and*
- e A statement of the distribution of the report(s).*

**Commentary:** Examples of administrative reports include daily reports, monthly reports, annual reports, etc. These reports are designed to provide information within the agency on a day-to-day operational basis as well as provide a mechanism to report agency activities outside the immediate structure of the agency.

**3.2.17** *The agency has a written directive to ensure accountability for agency forms that includes procedures for development, modification, approval, and review.*

**Commentary:** The intent of this standard is to ensure accountability of all forms used by the agency. This standard does not apply to forms supplied by other agencies, e.g., courts, for departmental use or to forms controlled by another level of government, e.g., a state traffic authority.

**3.2.18** *If analytical reports are used, a written directive requires that they are distributed to the affected organizational units.*

**Commentary:** None.

**3.2.19** *Candidates for sworn positions determined to be ineligible for appointment are informed in writing.*

**Commentary:** Prompt notification in writing is not only an essential element of an efficient administrative organization but also is fundamental to a fair and effective selection process. Candidates should be informed with 30 days of such a decision.

**3.2.20** *Deleted; refer to 1.2.20 (reserved for future use)*

**3.2.21** *If agency personnel are trained by an outside entity, a written directive describes the relationship between the agency and the outside entity.*

**Commentary:** An outside entity for this standard is a person, department, academy, team, corporation, cooperative, partnership, or other group with whom it is possible to conduct business. An agency may choose to avail itself of in-service, or specialized training provided by

a public or private entity, not operated by the agency, e.g., regional academy, state-operated academy, private company. Regardless of the reasons for participation, the written directive should provide the basis for the agency's participation with the entity, to ensure that training needs are being met. To safeguard the interests of both the agency and the entity while agency personnel are attending training, the directive should also specify any legal liabilities of the agency and entity. The directive should also describe: the legal basis for participation with the entity; the relationship of the agency training function and the agency to the entity; the process for providing agency input to the entity's program; the circumstances under which the agency provides staff, facilities, instructors, and other resources to the entity; financial obligations of the agency to the entity; and the method for determination of the legal liability of the participating agencies. **Revised 7/2013 (5% Option Available)**

**3.2.22** *A written directive specifies accountability for conducting preliminary and follow-up criminal investigations.*

**Commentary:** To assign responsibility and to establish investigative continuity, a written directive should define which element of the agency is to accomplish the preliminary and/or follow-up investigation for various categories of incidents.

**3.2.23** *Records and reports relating to active vice, drug, and organized crime investigations are securely filed and maintained separately from the central records system.*

**Commentary:** The nature of vice, drug, and/or organized crime offenses and the considerable amount of undercover work involved in controlling these offenses contribute to the sensitivity of related records. The agency should keep them secure and limit access to authorized persons only. These records should be assigned central case numbers, but the actual records of an active investigation should be under the control of the person responsible for the function or the CEO.

**3.2.24** *A written directive governs procedures for the safeguarding of intelligence information and the secure storage of intelligence records separate from all other records.*

**Commentary:** None.

**3.2.25** *The agency completes a review of the participation, activities, and liaison in the local or state victim/witness assistance program, at least every three years.*

**Commentary:** The following questions should be addressed in the agency review. Have officers been advising the victim/witnesses of the services available? Has the agency been called upon to provide additional service or security for victims/witnesses? Does the agency promote the services available to victim/witness through printed material and community relations activities? If the agency has an advocate or position, the person assigned prepares written reports of the activities of the position. What are the needs of victims and other witnesses? How are those needs being met by other government agencies and by community organizations? What needs remain unfulfilled? Of those, which are appropriate for the agency to meet? Those are the major

questions raised by the standard. Answers to those questions should ultimately result in a list of victim/witness services in the jurisdiction. At a minimum, such services would include only those that first responders can provide effectively. **Revised 7/2013**

**3.2.26** *The agency develops policies and procedures that achieve at least the following:*

- a Govern the implementation and delivery of victim/witness assistance services by agency personnel; and*
- b Ensure the confidentiality of victims/witnesses and their role in case development to the extent consistent with applicable law.*

**Commentary:** The nature of the policies and procedures depends to a large extent, on the analysis, if conducted. Notwithstanding, the agency should develop policies and procedures.

**3.2.27** *Central records information is accessible by physical availability or technology to operations personnel at all times.*

**Commentary:** In some agencies the accessibility of records during the evening and early morning hours can become problematic. In these instances, specific persons working or available through call-in should be given authority to access central records information.

**3.2.28** *The agency establishes a procedure to account for the status of reports, to include the complaint control recording and field reporting systems.*

**Commentary:** The procedure should ensure that the original report copy is maintained in the records component and that follow-up reports are prepared on a specific schedule, usually ten days. The procedure should also ensure that the correct control number is assigned and accounted for.

**3.2.29** *A written directive establishes a policy for the introduction of outside computer software and disks into agency owned or operated computer systems or work stations and include the following:*

- a Requires an annual audit of the central records computer system for verification of all passwords, access codes, or access violations;*
- b Procedures for central records computer files, back-up, and storage; and*
- c If criminal history records are computerized the written directive establishes security protocol for access and release of records.*

**Commentary:** The introduction of outside disk or software could result in virus infection of the host system. All disks or software should be inspected for virus infection prior to introduction in to the agency system or stand alone computers or laptops. The agency should ensure that all programs are properly licensed.

**3.2.30** *The agency maintains records to include at a minimum:*

- a Service calls and crimes by type;*
- b Service calls and crimes by location;*
- c Stolen, found, recovered, and evidentiary property file; ~~and~~*
- d An alphabetical master name index; and*
- e Assigning an identification number and maintaining a criminal history file for each person arrested.*

**Commentary:** Records provide information on experience relative to categories of activity. The agency should identify those activities constituting the prevalent activity for categorization, usually UCR Part I offenses and principal offenses in the Part II category or National Incident Based Reporting System classification (NIBRS). An identification number is a person-oriented number and is assigned to a specific person.

**General Management**

**3.2.31** *A written directive describes the agency's organizational structure and functions; and includes the following:*

- a The organizational structure is depicted graphically on an organizational chart and made available to all personnel; and*
- b The chart is reviewed and updated as needed.*

**Commentary:** The agency may determine its own organizational structure. The intent of this standard is to provide a written description of the agency's organization. The agency's organizational chart should coincide with the written description and reflect the formal lines of authority and communications within the agency.

**3.2.32** *Each organizational component is under the direct command of only one supervisor and each employee is accountable to only one supervisor at any given time.*

**Commentary:** Agencies with decentralized strategies or community oriented policing may deploy supervisors geographically rather than temporarily. Employees should have a clear understanding of the reporting relationship and accessibility to a supervisor.

**3.2.33** *A written directive requires that:*

- a Responsibility is accompanied by commensurate authority; ~~and~~*
- b Each employee is accountable for the use of delegated authority; and*
- c Supervisory personnel are accountable for the activities of employees under their immediate control.*

**Commentary:** None.

**3.2.34** *A written directive requires the formulation and annual updating of written goals and objectives for each organizational component within the agency; has a system for evaluating the progress of these goals and objectives; makes these goals and objectives available to all affected personnel and has a current strategic plan which includes the following:*

- a Long-term goals and operational objectives;*
- b Anticipated workload and population trends;*
- c Anticipated personnel levels;*
- d Anticipated capital improvements and equipment needs; and*
- e Provisions for review and revision as needed.*

**Commentary:** The planning process should encompass projecting a strategic plan, which covers successive years beyond the current budget year. It should also involve formulation of annual goals and objectives and a clear written plan for achieving them. The planning process and its end product are essential to effective agency management.

**3.2.35** *A written directive describes the agency planning and research activities, which includes:*

- a The organization or assignment of the activities;*
- b Access to necessary information resources; and*
- c Accessibility to the agency's chief executive officer.*

**Commentary:** The planning and research effort should be related as directly as possible to the agency's chief executive officer. Such proximity enhances the planner's ability to collect data and make programmatic recommendations. **Revised 9/2012**

**3.2.36** *A written directive establishes procedures for communication, coordination, and cooperation among all agency functions to include at a minimum:*

- a Procedures for shift briefing, and*
- b Provisions for periodic attendance of investigation and other special unit personnel at roll call.*

**Commentary:** All functions should encourage and support the exchange of information with specialized and support components for the purpose of coordinating activities. There are a number of ways to communicate information, such as attendance of investigative personnel at patrol roll calls, staff meetings, E-MAIL, VOICE MAIL, OTHER ELECTRONIC SYSTEMS, and exchange of daily bulletins. *(5% Option Available)*

**3.2.37** *A written directive establishes procedures for crime analysis and the frequency of reporting of crimes analysis to include, briefing the agency's chief executive officer on crime patterns or trends.*

**Commentary:** Crime analysis should provide currently useful information to aid operational personnel in meeting their tactical crime control and prevention objectives by identifying and analyzing methods of operation of individual criminals, providing crime pattern recognition, and providing analyses of data from field interrogations and arrests. Crimes analysis factors such as: frequency by type of crime; geographic factors; temporal factors; victim and target descriptors; suspect descriptors; suspect vehicle descriptors; modus operandi factors; physical evidence information; and problem oriented or community policing strategies, if any. Also, crime analysis can be useful to the agency's long-range planning efforts by providing estimates of future crime trends and assisting in the identification of enforcement priorities. For a crime analysis system to function effectively, information should be disseminated to the appropriate units or persons on a timely basis. Information that is relevant to the operational and tactical plans of specific line units should be sent directly to them. Information such as specification of source documents from which crime analysis data elements are extracted; analysis of crime data; documentation of temporal and geographic distribution of selected crimes; distribution of crime analysis information and feedback analysis are key elements of crimes analysis reporting. Information relevant to the development of the agency's strategic plans should be provided to the appropriate staff units. When information pertains to tactical and strategic plans, it should be provided to all affected units.

The written directive should support the dissemination of specified crime information to enhance public information and generate community support. However, other information concerning operational needs, e.g., known offenders, modus operandi, suspects, and investigative leads, should be carefully controlled. Distribution may also include other components of the criminal justice system.

**3.2.38** *A written directive requires an annual review of each specialized assignment for the purpose of determining whether it should be continued. This review shall include:*

- a. A statement of purpose for each listed assignment; and*
- b. The evaluation of the initial problem or condition that required the implementation of the specialized assignment.*

**Commentary:** Decisions regarding the continuation of specialized assignments are important to the agency. The agency is given wide latitude in identifying specialized assignments, but should consider which assignments might be better served with agency-wide competition and selection criteria. The development of an annual formalized review of all specialized assignments should help avoid overspecialization and ensure the continued effective operation of agency specialization. **Revised 7/2013**

**3.2.39** *If the agency allows temporary or rotating assignment of sworn personnel, a written*

*directive describing the agency procedure, will include:*

- a. identification of the positions which are available for temporary or rotational assignment;*
- b. the duration of assignments;*
- c. the criteria for selection of personnel; and*
- d. description of the selection procedures.*

**Commentary:** Through temporary assignments and job rotation, the employee may be afforded an opportunity for individual growth as well as improved job satisfaction and performance. As employees acquire additional skills, knowledge, and abilities, the agency benefits from an expanded pool of employees prepared to assume the responsibilities of a number of positions. If there is controlling legislation or labor agreement, regarding temporary assignments, either use of prohibition of, the standard would be N/A. The standard does not apply to patrol shift rotation.  
**Revised 7/2013**

**3.2.40** *A written directive describes the agency's budget process and assigns the responsibility for final budget preparation and management to the fiscal management function.*

**Commentary:** The agency may determine its own method of budgeting. This standard is intended to document that procedure for uniformity and clarity. Deadlines for scheduled activities, types and use of forms, and instructions for preparing and managing the budget should be described. If the agency uses procedures established by another unit of its government, those procedures may be used to comply with this standard.

**3.2.41** *Divisions or units within the agency shall provide, as part of the agency budget process, projections of anticipated expenses and needs for the period specified or fiscal year(s).*

**Commentary:** Commanding officers should be held accountable for those portions of the agency's budget that relate to their functions. The CEO may designate the organizational levels or functions for participation. **Revised 7/2013 (5% Option Available)**

**3.2.42** *The agency has an accounting system that includes approval of each account and a minimum provision for monthly status reports showing:*

- a. Initial appropriation for each account (or program);*
- b. Balances at the commencement of the monthly period;*
- c. Expenditures and encumbrances made during the period; and*
- d. Unencumbered balance.*

**Commentary:** This standard applies to all functions and components in the agency. The CEO should authorize all accounts or funds within the agency. The accounting system should be compatible with, or may be a part of, the central accounting system of the governing jurisdiction. It is essential that the agency establish such a system to ensure an orderly, accurate, and complete documentation of the flow of funds. Each appropriation and expenditure should be classified, at



a minimum, according to function, organizational component, activity, object, and program. Data-processing systems can facilitate rapid retrieval of information on the status of appropriations and expenditures any time the information is required. It is intended that each function retain its autonomy over operation of its account or fund but there are uniform guidelines for management and oversight of each.

**3.2.43** *A written directive establishes procedures for issuing/reissuing agency-owned property to authorized users.*

**Commentary:** None.

**3.2.44** *A written directive states agency equipment designated for use in unusual occurrences and other agency equipment and property is maintained in a state of operational readiness including documented biannual inventory/inspection is the responsibility of the person(s) or unit(s) to which the property is assigned.*

**Commentary:** The property management function is responsible for ensuring that stored items of the agency's equipment - such as radios, handcuffs, batons, and items of special equipment, such as radar, cameras, and closed-circuit TV surveillance devices - are maintained in a state of operational readiness. The term "operational readiness" includes care and cleaning, preventive maintenance, repair, workability, and responsiveness. **Revised 7/2013 (5% Option Available)**

**3.2.45** *A written directive defines victim/witness assistance services to be rendered to agency personnel and their families following line-of-duty deaths or serious injuries.*

**Commentary:** Appropriate agency-provided services include notifying the family of the dead or injured officer in a timely, personal manner, assisting the family at the hospital, supporting the family at the funeral and burial, helping the family with legal and benefits matters, counseling the family regarding finances and other possible problems, supporting the family during criminal proceedings (if any), and maintaining long-term contact with the family and keeping informed of needs.

**3.2.46** *A written directive describes the provision of clothing and equipment used by employees in performing law enforcement functions.*

**Commentary:** Certain employees are required to wear the agency's uniform and others are required to wear civilian clothes in law enforcement activities. Equipment is also needed by certain employees in the performance of their duties. The written directive should specify those eligible for clothing and equipment issue or allowances, specify the amount to be provided, and indicate the period for which it will be provided.

**3.2.47** *A written directive identifies a position responsible for coordination of grievance procedures and for the maintenance and control of grievance records.*

**Commentary:** The sensitivity of these records dictates additional precautions in controlling access to them.

**3.2.48** *A written directive requires an annual analysis of grievances.*

**Commentary:** The grievance procedure is a valuable method for management to discover agency problems. If through analysis the agency's chief executive officer observes a trend in filed grievances, steps may be taken to minimize the causes of such grievances in the future. The responsibility for analyzing grievances and reporting to the CEO should be assigned to the position required by 3.2.47. The formality of the analysis and reporting may be determined to best suit the agency's need.

**3.2.49** *A written directive specifies the role of supervisors and the authority attendant to each level of supervision and command relative to the disciplinary functions.*

**Commentary:** The role of supervisors, especially first-line supervisors, is crucial in the disciplinary process. First-line supervisors have the best opportunity to observe the conduct and appearance of officers and detect those instances when disciplinary actions are warranted (remedial training, counseling, or punishment). First-line supervisors also have the opportunity to understand the personality traits of the personnel under their supervision and to determine the most effective methods of discipline.

**3.2.50** *The agency actively conducts, or participates in its recruitment program.*

**Commentary:** When the authority for recruitment is shared with other agencies, the law enforcement agency should seek to involve itself directly or indirectly in all activities critical to the recruitment effort.

**3.2.51** *Individuals assigned to recruitment activities are knowledgeable in personnel matters especially equal employment opportunity as it affects the management and operations of the agency.*

**Commentary:** Prior to initiating recruitment activities, recruiters should undergo a training program that provides knowledge and skills in the following areas: the agency's recruitment needs and commitments; agency career opportunities, salaries, benefits and training; the community and its needs cultural awareness. (5% Option Available)

**3.2.52** *The agency has a plan for recruitment of sworn personnel that includes the following elements:*

- a Statement of objectives;*
- b Plan of action designed to achieve the objectives identified in bullet (a); and*
- c Procedures to periodically evaluate the progress toward objectives and revise/reissue the plan.*

**Commentary:** The recruitment plan should be written so that it can be easily understood and followed. The foundation of a successful recruitment drive should include strong management commitments, an analysis of demographic/geographic features of the agency's service area, and specific knowledge of past recruitment efforts by similar agencies. The recruitment plan may be a part of the written directive system or a separate and distinct planning document. The plan should govern agency activities relating to recruitment during a specific period of time, which should not exceed two years without being reviewed and updated.

**3.2.53** *The agency posts job announcements for sworn personnel with community service organizations and/or seeks cooperative assistance from community organizations key leaders.*

**Commentary:** The agency should seek permission to post job announcements with community organizations that are in contact with individuals who are likely candidates for recruitment. The agency should seek to achieve broader dissemination and greater exposure of recruitment information.

**3.2.54** *The agency maintains contact with applicants for sworn positions from initial application to final employment disposition.*

**Commentary:** Agency recruiters should acknowledge receipt of all employment applications. Applicants should be periodically informed of the status of their applications. Applicant contacts should be documented and logged.

**3.2.55** *Written directives describe all elements and activities of the selection process for full-time sworn personnel.*

**Commentary:** Such written directives are essential for the proper administration use, and defensibility of the selection process. The directive should describe the order of events in the selection process.

**3.2.56** *At the time of their formal application, candidates for sworn positions are informed, in writing, of:*

- a All elements of the selection process;*
- b The expected duration of the selection process; and*
- c The final results of the selection process.*

**Commentary:** A listing of selection elements should include, but is not limited to, all written physical and psychological examinations, polygraph examinations, oral interviews, and background investigations. From the outset, candidates should be made aware that sensitive or confidential aspects of their personal lives may be explored. Written notification of the expected duration of the selection process not only is a courtesy but also helps the agency better plan and coordinates its selection process.

**3.2.57** *A written directive requires that selection materials be stored in a secure area when not being used and are disposed of in a manner that prevents disclosure of the information within.*

**Commentary:** The agency responsible for selection materials should limit access to them and store them in locked files to provide 24-hour security. Selection materials should not be left unattended.

**3.2.58** *A written directive defines the agency's role in the promotion process and vests in an identifiable position the authority and responsibility for administering the promotional process for sworn personnel.*

**Commentary:** Although the written directive should identify a position responsible for the administration of the promotional process, a specific person may be designated. The person identified as the administrator of the process should have the authority to manage effectively its operation and direction. If responsibility is shared with or vested in another agency, e.g., a centralized personnel department or a civil service commission, the law enforcement agency should perform appropriate liaison activities to carry out the process.

**3.2.59** *All elements used to evaluate candidates for sworn personnel promotion are job-related and nondiscriminatory.*

**Commentary:** The intent of this standard is to ensure that candidates are evaluated by a promotion process that measures traits or characteristics that are a significant part of the job.

**3.2.60** *If the agency conducts performance evaluations, a written directive defines the system and includes at a minimum:*

- a Measurement definitions;*
- b Procedures for use of forms;*
- c Rater responsibilities;*
- d Rater training;*
- e Criteria used for performance evaluation are specific to the assignment of the employee during the rating period;*
- f Evaluation of the employee's performance covers a specific period;*
- g Explanatory comments when performance ratings are unsatisfactory or outstanding; and*
- h Each performance evaluation report is reviewed and signed by the rater's supervisor.*

**Commentary:** None. (5% Option Available)

**3.2.61** *If the agency conducts performance evaluations a written directive requires each employee to be counseled at the conclusion of the rating period to include the following areas:*

- a Results of the performance evaluation just completed;*

- b Level of performance expected, rating criteria or goals for the new reporting period; ~~and~~*
- c Career counseling relative to such topics as advancement, specialization, or*
- d Training appropriate for the employee's position.*

**Commentary:** The intent of this standard is to ensure that at least once each year, the immediate supervisor of each employee provides feedback regarding employee performance. It is critical that counseling of this type include both a review of performance over the prior rating period and, as a matter of fairness to the employee, an indication of the expectations for the upcoming reporting period. This is also an appropriate time to review the employee's career goals within the agency. (5% *Option Available*)

**3.2.62** *If the agency conducts performance evaluations a written directive that requires the retention of performance evaluation reports.*

**Commentary:** None. (5% *Option Available*)

**3.2.63** *If the agency conducts performance evaluations a written directive will require raters to be evaluated by their supervisors regarding the quality of ratings given employees.*

**Commentary:** Supervisors should evaluate raters regarding the fairness and impartiality of ratings given, their participation in counseling rated employees, and their ability to carry out the rater's role in the performance evaluation system. The supervisor should ensure that the raters apply ratings uniformly. (5% *Option Available*)

**3.2.64** *A written directive specifies the procedures for notifying the agency's chief executive officer of complaints against the agency or its employees to include:*

- a A time limit for completing an internal affairs investigation with provisions for extensions and;*
- b A "conclusion of fact" for each investigation into allegation of misconduct.*

**Commentary:** The directive should specify the nature of those complaints that should be brought immediately to the attention of the agency's chief executive officer and those that can be postponed to a later time.

## Chapter 3: Operations

### Patrol

**3.3.1** *A written directive specifies procedures for:*

- a Assignment to patrol shifts;*
- b Frequency of shift rotation, if any;*
- c Assignment to service areas, if any;*
- d Frequency of service area rotation, if any; and*
- e Determination of days off.*

**Commentary:** This standard does not limit the flexibility of the agency to assign personnel to community based initiatives. A single method for assigning officers to shifts, service areas (refers to beats/district), and days off should be developed and followed consistently.

**3.3.2** *A written directive governs the conducting of field interviews.*

**Commentary:** None.

**3.3.3** *A written directive specifies the circumstances and establishes procedures for first responder notifications in emergency situations.*

**Commentary:** Agency procedures should address notification by first responder units of such agencies or persons as are appropriate to the situation. This could include, but would not necessarily be limited to, notification of police supervisor personnel, emergency medical service, fire service, the medical examiner, public works department or public utilities personnel.

**3.3.4** *A written directive designates the specifications for all authorized personal equipment and apparel to be worn by patrol officers.*

**Commentary:** None.

**3.3.5** *If agency owned or operated, in-car audio or video recording systems are used, a written directive establishes policy and procedures for the following:*

- a Situations for use;*
- b Tape/Disk security and access; and*
- c Tape/Disk storage and retention schedule.*

**Commentary:** This includes any recording medium.

**3.3.6** *The agency uses a case-screening system and specifies the criteria for continuing and/or suspending an investigative effort.*

**Commentary:** The objective of case screening is to assign available personnel to those investigations that have the best chance of being resolved. The written directive should specify how such screening is to be conducted, by whom, and what criteria (solvability factors) should be used. Screening of preliminary investigative information should assist in the decision on whether a follow-up investigation should be made.

**3.3.7** *A written directive establishes procedures to be used in criminal investigation, to include:*

- a Information development;*
- b Interviews and interrogation;*
- c Collection, preservation, and use of physical evidence;*
- d Execution of background investigations, and*
- e Surveillance.*

**Commentary:** The written directive should specify acceptable practices and methods of developing information through witnesses, victims, informants, and other sources available to officers. The directive should also provide guidance in conducting an investigation by utilizing information developed by the other methods listed in the standard.

**3.3.8** *A written directive establishes steps to be followed in conducting preliminary investigations, to include:*

- a Observing all conditions, events, and remarks;*
- b Locating and identifying witnesses;*
- c Maintaining and protecting the crime scene and arranging for the collection of evidence;  
and*
- d Interviewing the complainant, witnesses, and suspects.*

**Commentary:** The preliminary investigation may be sufficient to bring the case to a satisfactory conclusion, thus obviating the need for a follow-up investigation. The standard is not intended to preclude the officer conducting the preliminary investigation from being assigned to the follow-up investigation.

**3.3.9** *A written directive establishes steps to be followed in conducting follow-up investigations, to include at a minimum:*

- a Reviewing and analyzing all previous reports prepared in the preliminary phase, departmental records, and results from laboratory examinations;*
- b Conducting additional interviews and interrogations;*
- c Seeking additional information (from uniformed officers, informants);*
- d Planning, organizing, conducting searches, and collecting physical evidence;*
- e Identifying and apprehending suspects;*
- f Determining involvement of suspects in other crimes;*
- g Checking suspects' criminal histories;*
- h Preparing cases for court presentation; and*
- i Maintaining contact as necessary with principals.*

**Commentary:** These procedures should be used only in the event they are found to be necessary. For example, every follow-up investigation may not include a search. The written directive should be intended as a guide.

**3.3.10** *The agency provides checklists to aid in criminal investigations.*

**Commentary:** The field report, properly prepared, serves as a satisfactory checklist for most investigations. However, more complicated investigations require additional efforts, and checklist aid in ensuring that critical areas of investigation are not overlooked.

**3.3.11** *If technical aids for the detection of deception are used, a written directive governs their use in criminal investigations. Examiners must be certified by the institutions providing training for this purpose.*

**Commentary:** None.

**3.3.12** *A written directive specifies policies and procedures to be followed when using informants, to include:*

- a Inclusion of informants in a master file;*
- b Content of the informant file, to include biographical and background information, criminal history record, if any,*
- c Code name or number of each informant;*
- d Maintenance of an informant file;*
- e Security of informant file and related codes;*
- f Other methods to protect the identity of informants;*
- g Criteria for paying informants, if applicable;*



- h Precautions to be taken with informants, generally;*
- i Special precautions to be taken with juvenile informants; and*
- j Procedures for the use of informants by patrol officers.*

**Commentary:** The use of confidential informants is important to the satisfactory completion of many investigations, including patrol-related investigations; drug, vice, and organized crime control functions, as well as intelligence functions. Procedures should be established to provide for this resource within a controlled system to avoid abuse.

**3.3.13** *A written directive specifies policies for receiving, processing, and investigating vice, drug, and gang complaints, to include:*

- a Specifying procedures for receiving, and processing complaints;*
- b Maintaining a record of complaints received; ~~and~~*
- c Maintaining a record of information conveyed to and received from outside agencies; and*
- d Notifying the agency's CEO of vice, drug, and gang crime activities.*

**Commentary:** The agency should establish policies and procedures ensuring that each complaint received is recorded and investigated to the fullest extent possible. The directive should include a listing of complaint forms used, information needed, and preliminary actions to be taken. The agency should establish policies for conducting preliminary and follow-up investigations of vice, drug, and gang offenses. Every complaint received should be recorded and entered in a complaint filing system with provision for purging after a specified period of time. It is recognized that some agencies may not have functional responsibility for the investigation of vice, drug, or organized crime activities. Notwithstanding, the agency should have procedures for meeting the standard, even if only in the normal course of the agency's reporting mechanism.

**3.3.14** *The agency's budget provides for a confidential fund(s) to support the operations of the vice, drug, and gang crime control functions.*

**Commentary:** The nature of the operations of these functions often requires frequent and sometimes large expenditures of money. This can include paying informants, purchasing contraband as evidence, and incurring expenses for surveillance activities and equipment.  
*(5% Option Available)*

**3.3.15** *A written directive establishes a system for the authorization, distribution, and use of surveillance and undercover equipment.*

**Commentary:** The intent of the standard is to establish a system of controls, policies, and procedures that should prevent unauthorized use and loss of often expensive and sophisticated surveillance equipment.

**3.3.16** *If the agency has a school resource officer program at a minimum, it incorporates the following:*

- a Acting as a resource with respect to delinquency prevention;*
- b Providing guidance on ethical issues in a classroom setting;*
- c Providing individual counseling and/or mentoring to students; and*
- d Explaining the law enforcement role in society.*

**Commentary:** None.

**3.3.17** *If the agency has a crime prevention function it provides for the following:*

- a Targeting programs by crime type and geographic area on the basis of an analysis of local crime data; and*
- b Targeting programs to address community perceptions or misperceptions of crime.*

**Commentary:** Preventing crime demands an integrated, coordinated agency response. Therefore, for a crime prevention function to meet its goals, it should maintain close ties with those other functions that support and make possible the furtherance of the crime prevention effort, especially by patrol officers engaged in field assignments. The size of the agency does not prohibit it from the crime prevention function. In fact, smaller agencies may actually be better equipped to prevent crime because of their officers' close personal ties with the community.

**3.3.18** *If the agency has a crime prevention function, it assists in organizing crime prevention groups in residential and business areas targeted for such activity and maintain liaison with these and other interested community groups.*

**Commentary:** None.

**3.3.19** *A survey of citizen attitudes and opinions is conducted once every three years with respect to:*

- a Overall agency performance;*
- b Overall competence of agency employees;*
- c Officers' attitudes and behavior toward citizens;*
- d Community concern over safety and security within the agency's service area as a whole; and*
- e Recommendations and suggestions for improvements.*

**Commentary:** The survey may be conducted in a number of ways. It can be conducted by mail, in person, by telephone or via a municipal or agency web site. The results of the survey may be provided to the community. The survey may be carried out by agency personnel or by others with agency guidance.

**3.3.20** *A written directive specifies a position in the agency responsible for coordinating the planning functions for response to unusual occurrences.*

**Commentary:** The person holding this position should be the principal advisor on unusual occurrences to the agency's chief executive officer. In larger agencies, an important part of the duties attendant to this position may be to act as an expeditor of resources during an emergency situation.

**3.3.21** *Merged in 3.2.38 (Reserved for future use)*

**3.3.22** *Emergency operations plans are accessible to all command personnel and are reviewed and updated as needed.*

**Commentary:** None.

**3.3.23** *The agency has a written plan for handling the security of VIP's.*

**Commentary:** None.

**3.3.24** *A written directive establishes procedures for the following special operations activities at a minimum, either on a part-time or full-time basis:*

- a Deployment of tactical teams to supplement other operational components; and*
- b Coordination and cooperation between tactical teams and other operational components.*

**Commentary:** For those special operations the agency does not perform, the directive should identify where such assistance is available, how it is requested, and what responsibilities agency personnel are to assume until assistance arrives.

**3.3.25** *If the agency conducts tactical operations, either on a part-time or full-time basis, a written directive establishes criteria for the selection of officers assigned to those operations.*

**Commentary:** Officers, who are assigned to tactical operations, whether full or part time, should be carefully selected. Special criteria for selection should be identified.

**3.3.26** *If the agency has a full-time or part-time tactical team, the agency provides specialized equipment for its operations.*

**Commentary:** Special equipment is needed to provide tactical officers with protection and to facilitate successful resolution of tactical operations. The equipment may be issued to officers for storage at home, in agency vehicles, or some other accessible location.

**3.3.27** *If the agency has hostage negotiators, a written directive specifies criteria for selection to those positions.*

**Commentary:** Hostage negotiators should be carefully screened and selected. Special criteria for selection should be identified.

**3.3.28** *If an agency performs search and rescue missions, a written directive defines the scope and procedures of their activities.*

**Commentary:** None.

**3.3.29** *A written directive requires line inspections within the agency and includes provisions for the following, at a minimum:*

- a Procedures to be used in conducting line inspections;*
- b Frequency of inspection;*
- c Responsibilities of the supervisor in each function for both the conduct of inspections and correction of conditions discovered by the inspection;*
- d Criteria to identify those inspections that require a written report; and*
- e Follow-up procedures to ensure corrective actions have been taken.*

**Commentary:** Line inspections should be an ongoing activity to ensure that employees are acting in concert with agency requirements in such areas as personal appearance, use and maintenance of equipment, and adherence to agency directives and orders. Line inspection is also concerned with the status and conditions of the physical facilities within a given organizational function. Line inspections should be a primary responsibility of supervisors and managers at every level of the agency and should provide a mechanism for achieving accountability within the agency.

**3.3.30** *The agency conducts staff inspections, in accordance with a written directive which includes provisions for:*

- a Identity and authority of the person(s) conducting the staff inspection;*
- b Procedures to be used in conducting staff inspection;*
- c Submission of a written report that identifies deficiencies and makes recommendations for their improvement and/or correction and identifies positive aspects of the area being inspected;*
- d A follow-up inspection and a written report for noted deficiencies that cannot be immediately corrected; and*
- e A staff inspection to be conducted within all organizational components at least every three years.*

**Commentary:** This management tool is used to assure the agency head that administrative procedures are being adhered to. The role of the staff inspection is to promote an objective

review of agency administrative and operational activities, facilities, property, equipment, and personnel outside the normal supervisor and/or line inspections. **Revised 7/2013 (5% Option Available)**

**3.3.31** *A written directive defines victim/witness assistance services to be rendered during investigation to include the following:*

- a During the preliminary investigation giving information to the victim/witness about applicable services, e.g., counseling, medical attention, compensation;*
- b Programs or emergency financial assistance, and victim advocacy;*
- c During the preliminary investigation advising the victim/witness about what to do if the suspect or the suspect's companions or family threatens or otherwise intimidates him or her;*
- d During the preliminary investigation informing victims/witnesses about the case number, if known by the agency, and subsequent steps in the processing of the case; and*
- e During the preliminary investigation providing a telephone number that the victim/witness may call to report additional information about the case or to receive information about the status of the case during the follow-up investigation; and*
- f Upon arrest and during post arrest processing of the suspect.*

**Commentary:** Regarding preliminary investigation, much of the information for the victim/witness can be on a card that the patrol officer or investigator gives to the victim/witness.

**3.3.32** *A written directive establishes procedures for notifying next-of-kin of deceased, seriously injured, or seriously ill persons.*

**Commentary:** The procedures should ensure that notifications are carried out promptly and in a considerate manner. Whenever possible, assistance should be obtained from the clergy, a relative, or a close friend. Procedures should also address notification requests initiated by other agencies. The agency may cover notifications for accident and non-accident situations in the same written directive.

**3.3.33** *A written directive governs the agency's selective traffic enforcement activities, to include procedures for:*

- a Analysis of traffic crashes;*
- b Analysis of traffic enforcement activities;*
- c Implementation of selective enforcement techniques and procedures;*
- d Deployment of traffic enforcement personnel; and*
- e Evaluation of selective traffic enforcement activities.*

**Commentary:** The ultimate goal of selective traffic enforcement is to reduce traffic collisions. This may be achieved through the application of such techniques as geographic/temporal assignment of personnel and equipment and the establishment of preventative patrols to deal with specific categories of unlawful driving behavior. The techniques used should be based on

collision data, enforcement activity records, traffic volume, and traffic conditions. The objective is to direct appropriate enforcement efforts toward violations.

**3.3.34** *A written directive establishes procedures for stopping approaching traffic law violators and procedures for officers in their relations with traffic violators.*

**Commentary:** None.

**3.3.35** *A written directive establishes procedures for identification and referral of drivers recommended for reexamination by DMV.*

**Commentary:** None.

**3.3.36** *If parking enforcement exists within the agency, a written directive governs the agency's parking enforcement activities.*

**Commentary:** None.

**3.3.37** *A written directive governs performance of agency activities related to the state traffic engineering, to include:*

- a Handling or referral of complaints or suggestions concerning traffic engineering deficiencies; and*
- b Procedures for transmitting collision and enforcement data to local or regional traffic engineering authorities.*

**Commentary:** Engineering functions should be conducted in conjunction with local traffic engineering authorities and should be directly related to the discovery and remedy of collision and congestion hazards. *(5% Option Available)*

**3.3.38** *A written directive specifies procedures for traffic direction and control, to include the following at a minimum:*

- a Procedures applicable at the scenes of traffic crashes;*
- b Uniform hand signals and gestures for manual traffic direction and control;*
- c Procedures applicable at the scenes of fires;*
- d Procedures applicable during periods of adverse road and weather conditions;*
- e Circumstances warranting manual operation of traffic control devices;*
- f Use of temporary traffic control devices; and*
- g A requirement that any personnel directing traffic, or in the roadway controlling traffic, wear reflective clothing at all times.*

**Commentary:** None.

**3.3.39** *If the agency uses adult school-crossing guards, a written directive specifies:*

- a The adult school-crossing guards' authority and responsibilities;*
- b Selection criteria for the adult school crossing guards;*
- c The uniforms to be worn by the adult school-crossing guards;*
- d Criteria for locations requiring adult school-crossing guards; and*
- e Identification of the locations requiring adult school-crossing guards, after conducting an annual analysis.*

**Commentary:** The scope of school-crossing guards' responsibilities and duties should be clearly spelled out and understood by both officers and crossing guards.

**3.3.40** *Traffic safety educational materials are made available to the public.*

**Commentary:** The ultimate goal of enforcement activities is to achieve voluntary compliance with traffic laws and regulations. Preparation and dissemination of traffic safety educational material support enforcement efforts and enhance public understanding of traffic safety programs.

## **Prisoners/Holding Facility**

**3.3.41** *Deleted: refer to 1.3.26 (reserved for future use)*

**3.3.42** *Procedures for gaining access to medical services are posted in areas used by prisoners.*

**Commentary:** It is important that prisoners know that emergency health care services are available to them. Procedures for requesting emergency health care should be posted in conspicuous places in English and any other languages that may be prevalent in the area.

**Compliance may be OBSERVED.**

## **Evidence/Property**

**3.3.43** *A written directive governs preparation of a report by a person who processes a crime/traffic crash scene.*

**Commentary:** An accurate record of events that transpire at the scene in connection with the investigation is required at the time of trial. The directive may require such elements as the following to be included in the report: date and time of arrival at the scene, location of the crime, name of the victims, if known, names of suspects, if known, action taken at the scene, including the number of photographs taken, and whether measurements were made, yes or no, list of physical evidence recovered, and case file reference number.

**3.3.44** *Final disposition of found, recovered, and evidentiary property is accomplished within six months after legal requirements have been satisfied.*

**Commentary:** Prompt, authorized property removal, final disposition/destruction, prevents an overload of the property management system and reduces the requirement for additional storage space. Also, the lack of prompt disposition procedures further deprives owners of the use of their property.

## **Communications**

**3.3.45** *If the communications function is provided by a shared or multi-jurisdictional entity, written agreements or authorizing documents govern the authority and responsibility of both the agency and the entity, and include, at a minimum, provisions for complying with all applicable accreditation standards for this function on behalf of the agency.*

**Commentary:** When the communications function is shared or delegated to another entity, it is necessary to specify accountability. **Revised 3/2013**

**3.3.46** *A written directive establishes procedures for obtaining and recording relevant information of each request for criminal calls for service, to include:*

- a Control number;*
- b Date and time of request;*
- c Name and address of complainant, if possible;*
- d Type of incident reported;*
- e Location of incident reported;*
- f Identification of officer(s) assigned as primary and backup;*
- g Time of dispatch;*
- h Time of officer arrival;*
- i Time of officer return to service; and*
- j Disposition or status of reported incident.*

**Commentary:** A control “system” can be a card, log, or computer entry that permits a permanent record to be maintained. Such records permit the agency to establish a control system to ensure a comprehensive field-reporting program. This information should be recorded for all requests, including those received by telephone, letter, in person; self-initiated by officers; or reported to officers in the field. The control number should be affixed to a communication center control record and the call disposition or result noted thereon. The number may serve as the basis for filing and retrieving subsequent reports of the incident, but it is indispensable for auditing the communications and records systems. The procedures should encourage eliciting as much information as possible to enhance the safety of the officer and assist in anticipating conditions to be encountered at the scene. This is particularly important in certain categories of



calls, and checklists may be provided to obtain additional information, e.g., for bomb threats, crimes in progress.

**3.3.47** *A written directive establishes procedures for radio communications to and from field officers, to include:*

- a Specification of the circumstances requiring radio communications by field officers;*
- b The recording of the status of officers when out of service;*
- c The methods used for identifying officers during radio transmissions;*
- d Communication with interacting agencies;*
- e Criteria for the assignment of the number of officers in response to an incident; and*
- f Circumstances that require the presence of a patrol supervisor at the scene for the purpose of assuming command.*

**Commentary:** Identification systems should be based on beat/district numbers or other assignment numbers, officer's identification numbers, or a combination of the two. Operations are more efficient and officer safety is enhanced when dispatchers, supervisors and fellow officers know the status of officers, their locations, the nature of cases, and the developments in their investigations.

**3.3.48** *Communications personnel have immediate access to at least the following departmental resources:*

- a Officer in charge;*
- b Duty roster of all personnel;*
- c Residential telephone number of every agency member;*
- d Visual maps detailing the agency's service area;*
- e Officer status indicators;*
- f Written procedures and telephone numbers for procuring emergency and necessary external services to the agency; and*
- g Tactical dispatching plans.*

**Commentary:** Communications personnel are often required to contact agency personnel both on and off duty. They should, therefore, have immediate access to such information as their working hours and residential telephone numbers. **Compliance may be OBSERVED.**

**3.3.49** *A written directive describes procedures to be followed by communications center personnel in responding to victim/witness calls for information or services, to include the following:*

- a Judging characteristics of the call to determine whether an emergency or non-emergency response is required; and*
- b Informing the victim/witness of the agency's response, including direct law enforcement service and/or referral to other agencies.*

**Commentary:** Communications center personnel are likely to receive calls from victims/witnesses who request information or services and may well represent the first contact the victim/witness makes with the agency. Written procedures should be available to communications center personnel regarding the proper handling of such calls.

**3.3.50** *A written directive specifies criteria for accepting and delivering emergency messages.*

**Commentary:** Delivering emergency messages is a legitimate law enforcement function. However, guidelines should be established to define the types of messages to be accepted and delivered.

**3.3.51** *If the agency has a system for receiving specified crime and incident report information by telephone or through the mail in lieu of on-scene response, a written directive specifies the criteria for acceptance.*

**Commentary:** The intent of this standard is to improve the use of patrol time. Some crime calls do not require the dispatch of a patrol officer and can be effectively handled by receiving information in an alternative manner. The agency should develop a procedure for taking information by telephone, including a list of call types that can be dealt with in an alternative manner. (5% Option Available)

**3.3.52** *The agency has a written directive which delineates procedures which assure compliance with all consular notification and access requirements which are in accordance with international treaties when dealing with foreign nationals.*

**Commentary:** The cooperation of Connecticut law enforcement agencies in extending consular notification and access to foreign nationals in accordance with international law helps the federal government comply with its international treaty obligations. It further assists agencies in reducing potential civil liability in the event that consular notification and access is denied to foreign nationals. Agencies can obtain relevant information and detailed guidance by consulting the U.S. State Department's publication entitled Consular Notification and Access.

**3.3.53** *A written directive establishes an Incident Command System/NIMS for operations management and addresses the following:*

- a. System activation criteria;*
- b. Training of agency personnel; and*
- c. Documented analysis of incidents and training effectiveness, once every three years.*

**Commentary:** The expanding scope and sophistication of emergency operations, along with increased possibilities for acts of terrorism, require law enforcement agencies to be prepared to act quickly to control emergency situations. The Incident Command System has proven very

effective in federal and fire service emergencies. The agencies ICS system should be the one that is used by other emergency service organizations in its service area.

The National Incident Management System, NIMS, is the national standard for all law enforcement agencies to follow. Training is accomplished through POST or on line. All training of agency personnel is to be documented.

The documented analysis of incidents and training effectiveness is to allow the agency to update the written directive and to determine if further or refresher training is necessary.

**APPENDIX A**  
**LIST OF COMMITTEE MEMBERS**

**Staff:** **Raymond A. Bouchard**  
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**Standards Review and Revision Committee members:**

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<b>Lt. George Sinko</b>	<b>Newtown</b>
<b>Kimberly Moffett</b>	<b>Newtown</b>
<b>Lt. Scott Sikora</b>	<b>Trumbull</b>
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**2013 Revision**

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## **APPENDIX B**

### **GLOSSARY**

#### **A**

**ACADEMY:** A facility at which agency training programs are conducted, usually housing classrooms, gymnasium, library, and offices for academy instructors and staff. Other facilities, such as a firing range and driver training track, are usually considered to be part of the academy but may not necessarily be located at the same site.

**ACCOUNTABILITY:** The state of being held responsible by higher authority for specified job related results.

**ACTIVITY:** (See Function.)

**ADA:** Americans with Disabilities Act.

**ADMINISTRATIVE REVIEW:** A documented review of an incident or occurrence prepared by or for the CEO or their designee. The review should indicate whether policy, training, equipment, or disciplinary issues should be addressed.

**ADVERTISEMENT:** The direct or indirect contact between an agency and the general public by way of printed publications or broadcast announcements.

**ANIMALS:** See Special Purpose Vehicles.

**APPROPRIATION:** Money that the agency is authorized to spend for a specific purpose, such as for personnel services, operating expenses, supplies, etc.

**ARREST:** To deprive a person of their liberty by legal authority. (Black's Law Dictionary.) (See Custody; Full Custody; Arrest; Physical Arrest.)

**ARRESTING OFFICER:** A sworn law enforcement officer who takes a person into custody, with or without a warrant.

**ASSESSMENT CENTER:** A standardized evaluation of behavior based upon multiple sources of input and using trained observers and multiple techniques. Judgments about behavior are made from specially developed assessment exercises designed to measure the participant's performance in specific job related tasks and situations.

**AT RISK PERSONS:** Any person who is physically or mentally challenged and who poses a risk to themselves or others, e.g. mental disorders, suicidal, Alzheimer, or Diabetics.

**AUXILIARY:** A uniformed or non-uniformed civilian affiliated with the law enforcement agency because of their interest in contributing to the mission of the agency in a support capacity. Includes law enforcement cadets, law enforcement explorers, senior citizen groups or other volunteers whose affiliation with the agency is expressed in their assigned duties or implied by the uniform worn. Excluded are part time paid employees of the agency. (See Civilian.)

**AVAILABLE WORK FORCE:** The largest potential group or number of individuals eligible, qualified, and capable of assuming specific activities and responsibilities.

## **B**

**BARRICADED PERSON:** An individual who resists being taken into custody by using, or threatening use of, firearms, other weapons, explosives, etc. Generally the barricaded person is behind cover. As used here, the barricaded person may or may not have taken a hostage or made a threat to their life.

**BEAT:** A geographic area assigned to a patrol officer. The term “beat” applies to the area patrolled by an officer on foot or in a vehicle.

**BIAS BASED PROFILING:** The selection of an individual(s) bases solely on a trait common to a group for enforcement action. This includes, but is not limited to, race, ethnic background, gender, sexual orientation, religion, economic status, age, cultural group or any other identifiable group.

**BIMONTHLY:** Every other month, every second month.

**BODY ARMOR:** A vest or jacket whose material, such as Kevlar, affords ballistic protection and whose construction may or may not accommodate metal or ceramic inserts.

**BOOKING:** A procedure for admitting to a holding facility a person charged with an offense; includes searching, fingerprinting, photographing, medical screening, collecting personal history data, and inventorying and storing a person’s property.

## **C**

**CANDIDATES:** Persons seeking employment who have completed a formal application.

**CAREER COUNSELING:** The relationship (process) between counselor and employee that is designed to facilitate an employee’s career choices, comprehension of career goals, and achievement of career goals through meaningful and well informed choices.

**CAREER DEVELOPMENT ACTIVITIES:** An organized and supervised set of duties or functions designed to stimulate learning, e.g. counseling, training, and job rotation.

**CELL:** Any area, space, or enclosure into which a detainee is placed and locked in, so as to prohibit freedom of movement.

**CEO:** Chief executive officer: the sheriff; the director or commissioner of police; or director or commissioner of public safety, even though the agency has a chief of police.

**CERTIFIED MEDICAL PROFESSIONAL:** Persons that are currently registered with the State of Connecticut Department of Health as; Advanced Emergency Medical Technician, Emergency Medical Technician and Paramedic. **Added 7/2013**

**CHAIN OF COMMAND:** Formal lines of communication going downward or upward within the organizational hierarchy through each successive level of command.

**CHAIN OF EVIDENCE:** The continuity of custody of material and items collected as physical evidence. The connotation, under the law, is that the item or material introduced subsequently into the court must be proven to be the same as that obtained initially.

**CIRCLE SYSTEM:** A series of fixed roadblocks intended to contain a vehicle or suspect in a given area.

**CITATION:** Any traffic enforcement action that involves a written notice to the accused to appear and that contemplates adjudication or disposition to determine the guilt or innocence of the person charged with a violation.

**CIVILIAN:** A non sworn person having no arrest authority as defined in “sworn officer” and “full custody arrest.” Civilians may be employed or affiliated with a law enforcement agency in a variety of supporting roles and may be uniformed, but lack the authority to make a full custody arrest.

**CLASS:** A grouping of jobs for which duties, responsibilities, qualifications, and conditions of employment are sufficiently alike to justify the treatment with respect to personnel practices. (See Position for the differentiation among class, job, and position.)

**CLASS SPECIFICATION:** An official statement or guideline about the general duties, responsibilities, and qualifications involved in the kinds of jobs included in the same class.

**COMMAND PROTOCOL:** The process identified to ensure a continuation of supervision at all levels of the chain of command when vacancies or absence from duty exists.

**COMMENTARY:** The “commentary” supports the standard statement but is not binding. The commentary serves as a prompt, as guidance to clarify the intent of the standard, or as an example of one possible way to comply with the standard.

**COMPONENT:** See Organizational Component.

**COMPUTERIZED DOCUMENTATION SYSTEM:** A computer based method of storing, disseminating, and accessing written directives and other information. Dissemination of written directives on diskettes or c.d. for use in stand alone personal computers is one form of a “computerized documentation system.”

**CONCURRENT JURISDICTION:** Having equal jurisdiction or authority.

**CONTRABAND:** Items that are not permitted within a holding facility because of their illegality or possible use to disrupt security measures within the facility.

**COUNSELING:** The giving of advice; advising. As used: discussions between the rated employee and supervisor leading to advice to the former concerning performance.

**COURSE:** A body of prescribed study about a specific topic.

**COURT:** A judicial officer; may also refer to the room, spaces, or interior and exterior areas of buildings where judicial officers conduct trials, hearings, or other judicial activities. (Synonymous terms: courthouse, courtroom.)

**CRIME PREVENTION PROGRAMS:** Among others, the following:

1. Neighborhood Watch
2. Property Identification
3. Residential Security
4. Commercial Security
5. Neighborhood Surveillance and CB Patrols
6. Community Education and Awareness
7. Crime Reporting
8. Personal Protection Procedures
9. Vehicle Theft
10. Substance Abuse
11. Vandalism
12. Bicycle Theft Prevention
13. Crime Against the Elderly
14. Rural Crime Prevention
15. Community Service Programs
16. Victim/Witness Assistance
17. Marine/Boat Theft



## 18. Business Watch

**CRIME SCENE:** The location where the crime occurred or where the indication of the crime exists.

**CRIME SCENE PROCESSING:** The specific actions taken at a crime or collision scene, consisting of the taking of photographs, preparing the crime or collision scene sketch, and the collecting and preserving of physical evidence.

**CRIME SCENE SPECIALIST:** A person who processes the crime scene, who may have a higher level of training than the crime scene processor and whose primary duty is crime scene processing. Larger departments will assign such persons for this purpose and provide specially equipped vehicles for their use.

**CRIMINAL INTELLIGENCE:** The end product of a process that converts individual items of information either into evidence or, more often, into insights, conclusions, or assessments, perhaps less solid than fact but always more helpful than raw information, that can form the basis for the development of law enforcement strategies, priorities, policies, or investigative tactics regarding a specific crime, suspect, criminal organization, etc. The intelligence process includes the systematic collection of raw information which, after collation, evaluation, and analysis, is disseminated to appropriate units of the agency.

**CRIMINAL PROCESS:** The writs, summonses, mandates, warrants, or other process issuing from a court of law compelling a person to answer for a crime. The term also includes a process issued to aid in crime detection or suppression, such as search warrants.

**CRISIS INTERVENTION:** Training that is designed to modify or enhance performance in specific crisis situations, such as family conflicts, spousal abuse, disturbances, rape, and homicides.

**CRITICAL MISSING:** A reported missing person who is missing and foul play may be a factor; or any child (as defined by the local jurisdiction) or any at risk person.

**CURRICULUM:** A series of courses related to a specific kind of training program.

**CUSTODY:** Legal or physical control of a person in an area or facility or while in transit; legal, supervisory, or physical responsibility for a person.

## **D**

**DETAINEE:** A person who, having been arrested and detained is held in a holding facility usually for not more than 72 hours. Such persons are held in the holding facility pending arraignment, or release.

**DISABLED PRISONER:** A prisoner with an anatomical, physiological, or mental impairment that hinders mobility.

**DIVERSION:** In the broadest sense, any procedure that (1) substitutes non entry for official entry into the justice process, (2) substitutes the suspension of criminal or juvenile proceedings for the continuation of those proceedings, (3) substitutes lesser supervision or referral to a non justice agency or no supervision for conventional supervision, or (4) substitutes any kind of non confinement status for confinement.

## **E**

**EMERGENT SITUATION:** An actual or potential condition that poses an immediate threat to life or property. In the context of mutual aid, it means a situation that exceeds the capability of a local agency to counteract successfully.

**EMOTIONAL STABILITY/PSYCHOLOGICAL FITNESS EXAMINATION:** Professional screening designed to identify candidate behavior patterns and/or personality traits that may prove either deleterious or advantageous to successful job performance.

**EMPLOYEE ASSISTANCE PROGRAM (EAP):** A formal program designed to assist in the identification and resolution of concerns or problems (personal or job related), which may adversely affect an employee's personal or professional well being or job performance. These personal concerns may include, but are not limited to, health, marital status, family, financial, substance abuse, emotional stress and other personal matters.

**EQUAL EMPLOYMENT OPPORTUNITY:** The provision of equitable opportunities for employment and conditions of employment to all employees regardless of race, creed, color, age, sex, religion, national origin, or physical impairment. Where a recruitment plan focuses on additional recruitment steps to be taken to increase the likelihood of hiring a member of an underrepresented group, EEO focuses on ensuring that applicants are treated fairly in the selection process (and in other personnel activities) by giving them the same opportunities for employment. The role of equal opportunity is to create a "level playing field" for all applicants and employees. An equal employment opportunity plan is a document that is designed to state the steps the agency intends to take to ensure that there are no artificial barriers that would prevent members of a protected group from a fair and equitable opportunity to be hired, promoted, or to otherwise take advantage of employment opportunities.

**ESSENTIAL PERSONS:** Designated staff and detainees are essential persons. All other persons are considered to be nonessential persons.

**EXERCISE:** Gathering of individuals inclusive of government and private sector persons, to develop plans, practice simulated implementation, and to discuss each agency's role in handling unusual occurrence incidents. This could include tabletop, functional and/or full field exercises.

## **F**

**FAMILY ABDUCTION:** A non custodial family member flees with a child, usually in direct violation of a court ordered custody arrangement.

**FIELD INTERVIEW:** The stopping and questioning of a person by a law enforcement officer because the officer (1) has reasonable suspicion that the subject may have committed, may be committing, or may be about to commit a crime, (2) believes the subject is a hazard, or (3) believes the interview may have preventative effect.

**FIELD TRAINING:** A structured and closely supervised program provided to recruit officers to facilitate the application of skills and knowledge obtained in the academy, classroom, to actual performance in on the job situations.

**FIELD TRAINING OFFICER (FTO):** An officer who has been carefully selected and trained to deliver the field training program to recruit officers.

**FIXED ROADBLOCK:** A full or partial roadblock established at a fixed point.

**FOLLOW-UP INVESTIGATION:** An extension of the preliminary investigation. The purpose is to provide additional investigation in order to close a case, arrest an offender, and, or recover stolen property. The investigation may include the following activities, (1) identifying and apprehending the offender, (2) collecting, preserving, analyzing, and evaluating evidence, (3) recovering stolen property; (4) interviewing victims and witnesses, (5) interrogating suspects, (6) determining in detail the exact circumstances of the offense, (7) determining if other crimes may have been committed by the suspect, (8) reporting information obtained, and (9) preparing case for court presentation.

**FORMAL APPLICATION:** A written form used to express interest in employment and to request information on a person's basic occupational qualifications, work experience, educational background, training, and special skills or abilities.

**FULL CUSTODY ARREST:** Arrest authority, with or without a warrant, which includes the legal authority to physically remove a person from their location, taking that person to a place of confinement or judicial authority. For interpretive purposes, the line of demarcation between sworn and non sworn (or civilian) agency personnel exists with the authority to make a full custody arrest. A sworn officer has authority to make a full custody arrest; a non sworn person does not.

**FUNCTION:** A general term for the required or expected activity of a person or an organizational component, e.g., patrol functions, communications function, the planning function, the crime analysis function.

## **G**

**GENERAL ASSISTANCE:** Services of a non emergency nature provided by agency personnel, such as providing information or directions and assisting stranded or disabled motorist.

**GENERAL ORDER:** A term used by some agencies to describe permanent directives concerned with policy, rules, and procedures affecting more than one organizational component.

**GOAL:** A relatively broad statement of the end or result that one intends ultimately to achieve. A goal usually requires a relatively long time span to achieve and, whenever possible, should be stated in a way that permits measurement of its achievement.

## **H**

**HIGHWAY:** The entire width between the boundary lines of every way publicly maintained when any part thereof is open to the use of the public for purposes of vehicular traffic; a street; or publicly maintained traffic way.

## **I**

**IDENTIFYING INFORMATION:** Any data included in personnel records and selection materials that directly or indirectly make a specific individual recognizable or known.

**INCIDENT:** An event that requires law enforcement action or the dispatching of officers in response to citizen request for law enforcement services. This includes any incident, whether criminal or non criminal, for which there has been a response to the scene, an investigation, or the preparation of an oral or written report.

**INCIDENT COMMAND SYSTEM:** A system for command, control, and coordination of a response that provides a means to coordinate the efforts of individual persons and agencies as they work toward the common goal of stabilizing an incident while protecting life, property and the environment. There are five major components: command, planning, operations, logistics and finance/administration.

**IN CUSTODY:** Being under the full control of a law enforcement officer. (See Full Custody Arrest.)

**INFORMED CONSENT:** A voluntary agreement to participate in an activity and or to allow an activity or procedure to be performed based upon the availability of all pertinent information and the ability to understand the consequences of the agreement decision.

**IN-SERVICE TRAINING:** Training in addition to recruit training, which may include periodic retraining or refresher training, specialized training, career development, promotional training, advanced training, and shift briefing training.

**INSTITUTION:** A facility that confines persons against their will and or provides care for persons, e.g., mentally ill or adult or juvenile offenders.

**INSTRUMENT FOR DETECTION OF DECEPTION:** An apparatus designed for the detection of deception by measuring and recording changes in a person's voice characteristics or respiration and heart activity.

**INTAKE:** The point at which a juvenile offender enters the juvenile justice system. "Intake" may be initiated on request of the law enforcement agency, but the intake process is generally supervised by a probation agency, juvenile court, or special intake unit.

## **J**

**JOB:** One or more positions with duties and responsibilities that are identical in all significant respects so that a single descriptive title can be used to identify the work done by incumbents. (See Position.)

**JOB DESCRIPTION:** An official written statement setting forth the duties and responsibilities of a job, and the skills, knowledge, and abilities necessary to perform it.

**JOB RELATED:** A procedure, test, or requirement either predictive of job performance or indicative of the work behavior expected or necessary in the position.

## **L**

**LATERAL ENTRY:** A personnel practice that permits employees from within or outside the agency to be selected for a position and be exempted from all or part of the agency's selection process for that position; if the employees meet the minimum qualifications of the employing agency, they are not necessarily subjected to the total selection process.

**LAW ENFORCEMENT SERVICES UNDER CONTRACT:** The provision of paid law enforcement services in accordance with a written contract. This does not encompass a situation in which an individual performs services for any agency under a personal services contract.

**LEGAL PROCESS:** Any item of civil or criminal process, whether original, intermediate, or final that is valid on its face and is to be served or executed by the law enforcement agency.

**LESSON PLAN:** A detailed guide from which an instructor teaches. The plan includes the goals, specific subject matter, performance objectives, references, resources, and method of evaluating or testing the students.

**LINE INSPECTION:** Inspection conducted by personnel in control of the person, facilities, procedures, or other elements being inspected. Line inspection may be carried out by any supervisor within the chain of command and is often conducted by supervisory who may be responsible for ensuring that any substandard conditions revealed in the inspection are corrected.

**LOCK-UP:** (See Holding Facility.)

**LOST OR OTHERWISE MISSING:** A child who becomes separated from parents or caretakers under circumstances not indicating the likelihood of an abduction or voluntary absence.

## **M**

**MANUAL:** A hard copy collection of written directives in book, notebook, or other similar format.

**MEMORANDUM:** An informal, written document that may or may not convey an order, it is generally used to clarify, inform, or inquire.

**MOVING ROADBLOCK:** Use of one or more moving vehicles to block the roadway and prevent approaching vehicles from continuing.

**MUTUAL AID:** An exchange of services, personnel, and or equipment between law enforcement agencies during times of emergency.

## **N**

**NEIGHBORING JURISDICTION:** A law enforcement agency in adjoining city or other unit of local government.

**NONESSENTIAL PERSONS:** (See Essential Persons.)

**NON-FAMILY ABDUCTION:** A child is taken by an unknown individual, through force or persuasion, usually in furtherance of additional victimization.

## **O**

**OBJECTIVE:** An objective is an end or result that one intends to attain in order to achieve partial fulfillment of a goal. An objective is a sub goal or an element of a goal, and, therefore, requires a shorter time to accomplish than does a goal.

**ORGANIZATIONAL COMPONENT:** A subdivision of the agency, such as a bureau, division, section, unit, or position that is established and staffed on a full time basis to provide a specific function.

**OTHER TRAFFIC LAW VIOLATIONS:** Violation of any law, ordinance, or regulation affecting the use or protection of streets or highways but not enacted primarily to regulate safe movement of vehicles and pedestrians.

**OUTSIDE ACADEMY:** An academy not operated by the agency, such as a regional or state training academy providing recruit, in-service, or specialized training.

**OUTSIDE JURISDICTION:** Another municipality, state or nation. An outside jurisdiction is one in which the agency has no legal authority to serve or execute process by use of its own personnel.

## **P**

**PATROL:** The deployment of officers to repress and prevent criminal activities, investigate offenses, apprehend offenders, and furnish day to day law enforcement services to the community.

**PERFORMANCE:** Something done or performed. As used: actions taken or omitted with regard to specific tasks or assignments.

**PERFORMANCE OBJECTIVES:** Statements of operational behavior required for satisfactory performance of a task, the conditions under which the behavior is usually performed, and the criteria for satisfactory performance.

**PERMANENT STATUS:** The period of employment in a position following the completion of a probationary period.

**PERSONAL EQUIPMENT:** The apparatus or gear required by patrol officers and includes, at a minimum, badge, baton and holder, belts, cartridge carrier, departmental and rank insignia, flashlight, handcuffs and case, notebook, raincoat and cap cover, side arm and holster, and pepper spray.

**PERSONNEL ORDER:** An announcement of changes in status of personnel, such as a transfer or promotion.

**PHYSICAL ARREST:** Any enforcement action that consists of taking persons into custody for the purpose of holding or detaining them to answer a charge of a law violation before the court. (See Arrest; Custody; Full Custody Arrest.)

**PHYSICAL EVIDENCE:** Any substance or material found or recovered in connection with a criminal investigation.

**PHYSICAL PLANT:** For a holding facility, its physical confines, including sally port, holding cells, and related spaces. If used only for booking detainees into the holding facility, the booking area is also included.

**POINT TRAFFIC CONTROL:** The control of vehicular and pedestrian movement at a particular place on a roadway, such as an intersection.

**POLICY:** A written directive that is a broad statement of agency principles. Policy statements may be characterized by such words as “may” or “should” and usually do not establish fixed rules or set procedure for conduct of a particular activity but rather provides a framework for development of procedures and rules and regulations.

**POLYGRAPH EXAMINATION:** An examination using an apparatus designed for the detection of deception by measuring and recording changes in a person’s respiration and heart activity.

**POSITION:** The duties and responsibilities, or work, assignable to one employee. A position may be filled or vacant. For purposes of comparison, a patrol officer assigned as a court officer would occupy a “position.” Patrol officer would be the “job.” A position may have functional responsibility for a single task, e.g. court officer or patrol officer or crime prevention officer, or over several tasks, e.g. administrative Lieutenant responsible for planning, budget, staff inspections, and internal affairs, etc.

**PRELIMINARY INVESTIGATION:** Generally, the activity that begins when officer arrive at the scene of an incident. The activity should continue until such time as postponement of the investigation or transfer of responsibility will not jeopardize the successful completion of the investigation. The investigation usually includes the following tasks: (1) providing aid to the injured; (2) protecting the crime scene to ensure that evidence is not lost or contaminated; (3) determining whether an offense has actually been committed and, if so, the exact nature of the offense; (4) determining the identity of the suspect or suspects and effecting an arrest if it can be accomplished either at the scene or through immediate pursuit; (5) furnishing other field units, through the communication system, descriptions, method, and direction of flight, and other relevant information concerning wanted persons or vehicles; (6) obtaining complete identification of all witnesses; (7) determining what information is known by the victims and witnesses; (8) arranging for the collection of evidence; (9) determining in detail the exact circumstances of the offense; (10) obtaining written statements from victims, witnesses, and if legally possible, from the suspect; and (11) accurately and completely recording all pertinent information on prescribed report forms.



**PRISONER:** A person who has been arrested and taken into custody. (See Detainee.)

**PROBATIONARY PERIOD/STATUS:** A phase of the selection or promotional process represented by some form of conditional employment.

**PROCEDURE:** A written directive that is a guideline for carrying out agency activities. A procedure may be made mandatory in tone through the use of “shall” rather than “should,” or “must” rather than “may.” Procedures sometimes allow some latitude and discretion in carrying out an activity.

**PROCESSING:** Includes pre booking activities involving detainees in custody, after which detainees may either be released from custody by one of several means or be detained in the holding facility.

**PROFICIENCY:** The additional skills, knowledge, and abilities that are needed to remain competent in performing the duties and responsibilities of a job.

**PROVIDER AGENCY:** An agency that provides service, equipment, or supplies to another agency.

**PURSUIT:** An active attempt by a law enforcement officer in a motor vehicle to apprehend one or more occupants of another moving motor vehicle, where the driver of the fleeing vehicle is aware of the attempt and is resisting apprehension.

## **R**

**RATED EMPLOYEE:** The employee whose performance is evaluated by a rater.

**RATER:** The supervisor who evaluates the performance of a subordinate employee.

**RATING:** The estimate of the value, worth, strength, capacity of, etc; appraisal. As used: an indication of the quality of performance or attributes.

**REASONABLE BELIEF:** The facts or circumstances the officers knows, or should know, are such as to cause an ordinary and prudent person to act or think in a similar way under similar circumstances.

**RECRUITMENT ACTIVITIES:** A systematic method of seeking potentially qualified job applicants.

**RECRUIT/BASIC/ENTRY LEVEL TRAINING:** The orientation of new officers to their jobs and the development of basic law enforcement skills.

**RECRUITMENT LITERATURE:** Written material or brochures designed to attract qualified applicants for jobs.

**RECRUITMENT PLAN:** A written plan for recruiting underrepresented minorities and women. A recruitment plan assumes the agency is doing more than just fairly implementing their selection procedures and instruments, e.g. providing equal opportunity. Proactive recruitment requires additional steps, where necessary, to increase the likelihood of attracting qualified applicants of protected groups that are sufficiently represented in the agency's sworn ranks.

**REMEDIAL TRAINING:** Personalized training to correct a specific deficiency, which is usually identified by either (1) testing or other evaluation during training or (2) supervisory evaluation during routine job performance.

**RESERVE:** A part time sworn officer.

**RESTRAINING DEVICES:** Equipment use to restrain the movement of the prisoner, such as handcuffs, flex cuffs, waist chains, ankle chains, restraining straps, straight jackets, or tie down stretchers.

**ROAD:** That portion of a highway that includes both the roadway and the shoulder.

**ROADBLOCK:** A restriction, obstruction or device used or intended for the purpose of preventing free passage of motor vehicles on a roadway in order to effect the apprehension of a suspect.

**ROAD SIDE SAFTEY CHECK:** A temporary operation in which law enforcement or other authorized personnel stop some or all traffic to inspect individual vehicles or their contents or to interview drivers.

**ROADWAY:** That portion of a highway improved, designed, or ordinarily used for vehicular travel, exclusive of the shoulder.

**RULES AND REGULATIONS:** A set of specific guidelines to which all employees must adhere.

**RUNAWAY:** Most often a teenager, who leaves home voluntarily for a variety of reasons.

## **S**

**SALARY AUGMENTATION:** Pay that is added to the base salary of the employee. Such augmentation may be considered as premium pay, merit pay, differential pay, or temporary increase because of a temporary assignment to a position with higher base salary.

**SCHOOL CROSSING SUPERVISION:** Control of pedestrians and vehicles by adult school crossing guards, or control only of students by student safety patrols.

**SEARCH AND RESCUE:** Involves a coordinated effort to locate individuals missing in a wilderness area, large bodies of water, or elsewhere. Search and rescue missions usually involve use of aircraft, boats, or other special purpose vehicles and specialized personnel such as scuba divers, mountain climbers, or spelunkers.

**SECONDARY EMPLOYMENT:** Any outside employment, which is either extra duty or off duty. Extra duty employment is any secondary employment that is conditioned on the actual or potential use of law enforcement powers by the officer, employee. Off duty employment is any secondary employment that is not conditional on the actual or potential use of law enforcement powers by the off duty employee.

**SECURITY HAZARD:** Any threat to the security of the prisoner, to the facility in which they are held, or to others with whom the prisoner may come into contact. Estimations of the degree of security hazard will govern the means of transport, the kinds of restraining devices to be used, and other actions to be taken by the escort officers to provide proper protection for and security of the prisoner.

**SELECTION CRITERIA:** Rules, standards, procedures, or directives upon which a judgment or decision concerning employment can be based.

**SELECTION MATERIALS:** All written tests, test scores, answer sheets, study materials, evaluations, ratings, questionnaires, reports, and forms used in the selection process that have a bearing upon the employment decision.

**SELECTION PROCEDURE:** Any established method or combination of methods used in any way as the basis for an employment decision.

**SELECTION PROCESS:** The combined effect of components and procedures leading to the final employment decision, including minimum qualifications, e.g. education, experience, physical attributes, citizenship, residency, written tests, performance tests, oral exams, interviews, background investigations, medical exams, polygraph tests, police academy ratings, probationary period ratings, personality inventories, psychiatric evaluations, veterans preference, cut off scores, and ranking procedures.

**SELECTIVE TRAFFIC ENFORCEMENT:** The assignment of personnel to traffic enforcement activities at times and locations where hazardous or congested conditions exist. Such assignments are usually based on such factors as traffic volume, accident experience, frequency of traffic violations, and emergency and service needs.

**SERIOUS PHYSICAL INJURY:** A bodily injury that creates a substantial risk of death; causes serious, permanent disfigurement; or results in long term loss or impairment of the functioning of any bodily member or organ.

**SERVICE:** The delivery of any item of civil process that is complete with the act of delivery and does not require physical or legal seizure of a person or thing.

**SERVICE COMMUNITY:** Those persons living within the agency's jurisdiction.

**SEXUAL HARASSMENT:** Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature, constitute sexual harassment when (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or (3) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

**SHIFT:** An established period of time that an employee works. Shifts may be determined in accordance with workload demands and or collective bargaining agreements.

**SHIFT BRIEFING:** Training or informational sessions of short duration administered to law enforcement officers just prior to, or after, their tour of duty.

**SINGLE POINT OF CONTACT:** A specific person, position, organizational component, or phone number.

**SKILL:** A present, observable competence acquired or developed through experience and or training.

**SKILLS, KNOWLEDGE, AND ABILITIES:** Skills are the proficiency with which an individual performs. Knowledge is the body of information or the understanding gained through learning, education, experience, or associations. Abilities are processes required to perform the various job responsibilities.

**SPAN OF CONTROL:** The number of person reporting to any one supervisor.

**SPECIAL EVENT:** An activity, such as a parade, athletic contest, or public demonstration, that results in the need for control of traffic, crowds, or crime.

**SPECIALIZED ASSIGNMENT:** An assignment often characterized by increased levels of responsibilities and specialized training, but within a given position classification; a specialized assignment may involve higher pay or additional benefits.

**SPECIALIZED TRAINING:** Training to enhance skills, knowledge, and abilities taught in either recruit or other in service programs. Specialized training may address supervisory, management, and or executive development training, or it may include technical and job specific subjects, e.g. homicide investigation, fingerprint examination, juvenile investigation, etc.

**SPECIAL ORDER:** A directive affecting only a specific segment of the organization or a statement of policy or procedure regarding a specific circumstance or event that is of a temporary nature.

**SPECIAL PURPOSE VEHICLE:** A vehicle used because of consideration of weather, terrain, or the need for inconspicuous appearance, quietness, storage requirements, special operational needs, etc. Includes SWAT trucks, bomb disposal vehicle, mobile command post, all terrain vehicles (ATVs), snowmobiles, boats, aircraft, and prisoner transport vehicles, motorcycles, bicycles, and animals.

**STAFF INSPECTION:** Inspection conducted by personnel who do not have control of the persons, facilities, or procedures being inspected. Staff inspections in larger agencies are generally members of a specialized component responsible for conducting inspections throughout the agency. The results of staff inspections are usually reported to the agency's chief executive officer.

**STATEWIDE, REGIONAL, OR AREA LAW ENFORCEMENT RADIO SYSTEM:** A radio communications network that permits the law enforcement agencies communication centers within a state, region, or area to communicate with each other.

**STATIONARY OBSERVATION:** Traffic observation at a selected place, usually one with an unfavorable collision experience or traffic flow problem, for traffic law enforcement purposes, especially to detect violations and deter violators.

**STATUS OFFENSE:** An act or conduct declared by statute to be an offense only when committed or engaged in by a juvenile, and adjudicated only by a juvenile court.

**SUPERVISION AND CONTROL:** Means direct in-person contact.

**SWORN OFFICER:** A person who is granted those general peace officer powers prescribed by constitution, statute, or ordinance in the jurisdiction.

## **T**

**TACTICAL TEAM:** Usually refers to a group of five or more officers who are specially selected, trained, and equipped to handle high risk incidents, such as those involving snipers, barricaded persons, hostage takers, selected warrant services, and other situations or activities as deemed necessary by command leadership.

**TASK:** A unit of work performed by an individual to accomplish the goal of a job.

**TASK ANALYSIS:** A systematic, structured process for dissecting a job into its basic parts. A task analysis identifies the important or essential elements of a job, the key work behaviors, and the knowledge, skills, and abilities required for these work behaviors.

**THROWN AWAY:** A child whose caretaker makes no effort to recover the child who has run away, or who has been abandoned or deserted.

**TRAFFIC PATROL:** The part of law enforcement traffic supervision that consists of driving or walking within an area or roadway for the purpose of providing protection, security, and service to the public.

**TRAFFIC SURVEY:** An examination of traffic characteristics, such as volume, speed, delay, accidents, origin, destination, etc.

**TRAFFIC ACCIDENT REPORTING:** Basic data collection to identify and classify a traffic accident and the persons, vehicles, time, location, planned movements involved, and possible contributing factors, such as traffic law violations.

**TRAFFIC CONTROL DEVICE:** All signs, signals, markings, and devices placed on, over, or adjacent to a street or highway by authority of a public body or official having jurisdiction to regulate, warn, or guide traffic.

**TRAFFIC ENGINEERING AUTHORITIES:** Persons responsible for traffic engineering in various local, regional, and state agencies.

**TRAFFIC LAW ENFORCEMENT:** Law enforcement as it applies to statutes, ordinances, and legally authorized regulations relating to the use of streets and highways and ownership and operation of motor vehicles and other road vehicles.

**TRAFFIC LAW ENFORCEMENT ACTION:** The part of traffic law enforcement involving arrest, citation, or warning of any person alleged to have violated a law, ordinance, or regulation pertaining to the use of traffic ways when the person has knowledge of this action and when it is to (1) prevent such violation from endangering persons or property or inconveniencing other users of the traffic way, (2) prevent continued violation, or (3) discourage recurrences.

**TRAFFIC LAW VIOLATIONS:** Violation of any statute, ordinance, or legally authorized regulation relating to the use of streets and highways.

**TRANSPORT VEHICLE:** the vehicle used for transporting a prisoner from one point to another. The transport vehicle may be the patrol vehicle, such as in the case of transporting a prisoner after an arrest; a specially designed prisoner transport vehicle.

**TRANSPORTING OFFICER:** A sworn law enforcement officer who is responsible for transporting a prisoner from one point to another. This may be the arresting officer or another officer who is assigned to the responsibility for transport.

## **U**

**UNLAWFUL HARASSMENT:** Conduct that has the purpose or effect of unreasonable interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

**UNITY OF COMMAND:** The concept that each individual in the organization has one, and only one, immediate supervisor.

**UNSATISFACTORY PERFORMANCE:** Employee behavior or work performance that is substandard and may lead to disciplinary action.

## **V**

**VALIDITY:** Proof through statistical data that a given component of the selection process is job related either by predicting a candidate's job performance or by detecting important aspects of work behavior related to the position.

**VICTIM:** A person who suffers physical, financial, or emotional harm as the direct result of a specified crime committed upon his or her person or property.

**VICTIM ADVOCATE:** A person authorized by the agency to assist victims in specified ways. Such advocates may be sworn or non sworn agency members or unpaid, citizen volunteers.

**VIP:** A "very important person," dignitary, famous personality, notorious person, or any other person in need of special security.

**VOLUNTEERS:** Unpaid citizens (See Auxiliary).

## **W**

**WITNESS:** A person who as determined by the law enforcement agency, has information or evidence relevant to the investigation of a specified crime. All victims are witnesses.

**WORK LOAD:** The sum total of cases and other measurable activities occurring within a given area or time period.

**WRITTEN DIRECTIVE:** Any written document used to guide or affect the performance or conduct of agency employees. The term includes policies, procedures, rules and regulations, general orders, special orders, memorandums, and instructional material.

## **APPENDIX C**

### **GUIDING PRINCIPLES FOR AGENCIES**

#### **1.0 Functions Performed.**

- 1.1 If an agency performs functions governed by standards designated as “not applicable,” the agency must comply with those standards.
- 1.2 If an agency occasionally performs a function governed by standards. The agency must be in compliance with the standard and can not be designated as “not applicable”.

#### **2.0 Standards.**

- 2.1 An agency can exceed the requirement of the standard. A semiannual reporting requirement may be done quarterly. This is but one example of how an agency’s performance can exceed the standard.
- 2.2 Unless otherwise indicated, standards related to personnel matters apply to all agency employees. Some standards indicate applicability to sworn or to civilian personnel.
- 2.3 Personnel shall be assessed according to the glossary terms. There is no need for an agency to change its definitions or titles for positions, employees, or other individuals affiliated with the agency.

#### **3.0 Written Directives.**

- 3.1 A written directive can be a policy, plan, procedure, rule, general order or special order, training directive, or other document that is binding upon agency personnel. The objective of a written directive standard is to require written policy. The form of the written policy can be what the agency had determined best fits its written directive system.
- 3.2 An agency does not need to have an individual directive for each standard requiring a written directive; The agency may have a single manual or directive covering several standards. The state accreditation process is not intended to generate unnecessary paperwork for the applicant agency.
- 3.3 A written directive presumes functional compliance with the directive. The integrity vested in agencies participating in this program dictates that the POST Council initially presumes that the agency operates in compliance with its written directives.



3.4 A written directive presumes functional compliance with the directive.

The integrity vested in agencies participating in this program dictates that the POST Council initially presumes that the agency operates in compliance with its written directives.

**APPENDIX D**  
**SYANDARDS REVIEW AND REVISIONS**

## APPENDIX E

### STANDARD AVAILABLE FOR 5% OPTION

The POST Council have identified and approved seven (7) standards in Tier II and 18 standards in Tier III that are eligible for the 5% option. These are indicated by **(5% Option Available)** at the end of the standard commentary. The five percent is determined by the number of standards in each of the two tiers. Agencies intending to utilize this option must notify the POST Accreditation Manager of the standards selected before the onsite assessment. In order to improve the professionalism of Connecticut Law Enforcement Agencies, it is better to have agencies meet the remaining 317, POST Council Standards than the full 324 than to be stopped at Tier I standards (124).

The “Standard Option” for both Tier II and Tier III is recommended at five percent (5%) of the total standards of each tier. The standard option translates to four (4) standards in Tier II and six (6) standards in Tier III.

127 Standards in Tier I

80 Standards in Tier II (5% = 4)

116 Standards in Tier III (5% = 6)

**323 POST Council Standards**

### **Tier II 5% Option available (7)**

**2.1.9** *If investigative task forces are used, a written directive governs their activities, to include:*

**2.2.1** *The agency has a position management system, which provides the following information:*

**2.2.2** *The agency announces anticipated openings for specialized assignments agency-wide and fills those positions through a selection process.*

**2.2.7** *Unless there controlling contract language, a written directive requires a performance evaluation of each employee is conducted and documented at least annually.*

**2.2.9** *If the agency conducts a written performance evaluation, a written directive requires that non-probationary employees be advised in writing whenever their performance is deemed to be unsatisfactory and that the written notification be given to them prior to the end of the annual rating period.*

**2.2.10** *A written directive requires an appeal process for contested evaluation reports and that a copy of the completed evaluation report is provided to the employee.*

**2.2.15** *If law enforcement services are provided by the agency to another municipality, a written agreement exists governing those services.*

### **Tier III 5% Option available (18)**

**3.2.2** *The agency allocates personnel to, and distributes them within, all organizational components in accordance with documented periodic workload assessments.*

**3.2.4** *A written task analysis of every class of sworn employee in the agency is reviewed every three years and updated as necessary.*

**3.2.8** *If the agency has general health and physical fitness standards a written directive describes these standards.*

**3.2.12** *A written directive identifies the functions for which specialized training is required, and includes the following:*

**3.2.14** *A written directive identifies the civilian positions for which pre-service and in-service training is required.*

**3.2.21** *If agency personnel are trained in an outside academy, a written directive describes the relationship between the agency and the outside academy.*

**3.2.36** *A written directive establishes procedures for communication, coordination, and cooperation among all agency functions to include at a minimum:*

**3.2.41** *Divisions or units within the agency should annually prepare written budget recommendations.*

**3.2.43** *A written directive establishes procedures for issuing/reissuing agency-owned property to authorized users.*

**3.2.51** *Individuals assigned to recruitment activities are knowledgeable in personnel matters especially equal employment opportunity as it affects the management and operations of the agency.*

**3.2.60** *If the agency conducts performance evaluations, a written directive defines the system and includes at a minimum:*

**3.2.61** *If the agency conducts performance evaluations a written directive requires each employee to be counseled at the conclusion of the rating period to include the following areas:*

**3.2.62** *If the agency conducts performance evaluations a written directive-requires the retention of performance evaluation reports.*

**3.2.63** *If the agency conducts performance evaluations a written directive will require raters to be evaluated by their supervisors regarding the quality of ratings given employees.*

**3.3.14** *The agency's budget provides for a confidential fund(s) to support the operations of the vice, drug, and gang crime control functions.*

**3.3.30** *If the agency conducts staff inspections, a written directive includes provisions for:*

**3.3.37** *A written directive governs performance of agency activities related to the state traffic engineering, to include:*

**3.3.51** *If the agency has a system for receiving specified crime and incident report information by telephone or through the mail in lieu of on-scene response, a written directive specifies the criteria for acceptance.*